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Thursday  
December 17, 1998

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## Part II

# Department of the Treasury

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Privacy Act of 1974; Republication of  
System of Records; Notices

**DEPARTMENT OF THE TREASURY****Privacy Act of 1974: Systems of Records**

Pursuant to the Privacy Act of 1974 (5 U.S.C. 552a) and the Office of Management and Budget (OMB) Circular No. A-130, the Department of the Treasury has completed a review of its Privacy Act systems of records notices to identify minor changes that will more accurately describe these records.

Customs .067—Bank Secrecy Act Reports File, was transferred to Departmental Offices (DO) due to change in organizational responsibilities (published January 10, 1997, at 62 FR 1489). The system was renamed and renumbered as "Treasury/DO .213—Bank Secrecy Act Reports System." The system retains the exemptions claimed in 31 CFR 1.36.

IRS 42.029—Audit Underreporter Case Files was renumbered as IRS 24.047 to reflect new ownership within the IRS, and IRS 26.013 was renamed as "Trust Fund Recovery Cases/One Hundred Percent Penalty Cases." In addition, the IRS has added a "Purpose(s)" statement to many of its notices.

Other changes throughout the document are editorial in nature and consist principally of changes to system locations and system manager addresses, retention and disposal schedules, revisions to organizational titles and transfers of functions.

The following four systems of records have been added to the Department of the Treasury's inventory of Privacy Act notices since October 1, 1995:

**Departmental Offices:**

DO .212—Suspicious Activity Report System (SARS) (published 3/26/97 at 62 FR 14532.)

**Financial Management Service:**

FMS .016—Payment Records for Other Than Regular Recurring Benefit Payments (published 9/12/95 at 60 FR 47435.)

**Internal Revenue Service:**

IRS 00.003—Customer Feedback System (published 7/23/97, at 62 FR 39604.)  
IRS 46.050—Automated Information Analysis System (published 9/9/96 at 61 FR 47547.)

As a result of this review, 19 systems of records, identified below, are being removed from Treasury's inventory of Privacy Act systems:

**Departmental Offices:**

DO .062—Executive Inventory Files  
DO .065—Appointment at Above the Minimum Rate of the Grade File  
DO .067—Detailed Employee Files  
DO .070—Automated Systems Division, ASD Project Recording System

DO .205—Executive Information System (EIS)  
U.S. Customs Service:  
CS .014—Advice Requests (Legal) (Pacific Region)  
CS .028—Baggage Declaration  
CS .092—Exit Interview  
CS .161—Optional Retirement List  
CS .210—Revocation of I. D. Privileges and "Cash Basis Only" for Reimbursable Services List  
CS .217—Set Off Files  
CS .219—Skills Inventory Records  
CS .220—Supervisory Notes and Files  
CS .277—Drivers License File  
Bureau of Engraving and Printing:  
BEP .023—Motor Vehicle Licensing Records  
Internal Revenue Service:  
IRS 90.006—Former Chief Counsel Interpretative Case Files  
Bureau of the Public Debt:  
BPD .008—Savings Bonds Sales Promotion/Volunteer Record System  
BPD .009—Savings Bond Sales Record System  
Office of Thrift Supervision:  
OTS .009 Health Files

The systems notices are reprinted in their entirety following the Table of Contents.

Dated: November 19, 1998.

**Shelia Y. McCann,**

*Deputy Assistant Secretary (Administration).*

**Table of Contents****Departmental Offices (DO)**

DO .002—Treasury Integrated Management Information System (TIMIS)  
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DO .060—Correspondence Files and Records on Employee Complaints and/or Dissatisfaction  
DO .068—Time-In-Grade Exception Files  
DO .111—Office of Foreign Assets Control Census Records  
DO .114—Foreign Assets Control Enforcement Records  
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DO .149—Foreign Assets Control Legal Files  
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DO .193—Employee Locator and Automated Directory System  
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DO .196—Security Information System  
DO .200—FinCEN Data Base  
DO .201—Fitness Center Records  
DO .202—Drug-Free Workplace Program Records

DO .203—Public Transportation Incentive Program Records  
DO .206—Office Tracking System (OTS)  
DO .207—Waco Administrative Review Group Investigation  
DO .209—Personal Services Contracts (PSC)  
DO .210—Integrated Financial Management and Revenue System  
DO .211—Telephone Call Detail Records  
DO .212—Suspicious Activity Reporting System (SARS)  
DO .213—Bank Secrecy Act Reports System (formerly CS .067—Bank Secrecy Act Reports File)

**Bureau of Alcohol, Tobacco, and Firearms (ATF)**

ATF .001—Administrative Record System  
ATF .002—Correspondence Record System  
ATF .003—Criminal Investigation Report System  
ATF .005—Freedom of Information Requests  
ATF .006—Internal Security Record System  
ATF .007—Personnel Record System  
ATF .008—Regulatory Enforcement Record System  
ATF .009—Technical and Scientific Services Record System

**Comptroller of the Currency (CC)**

CC .004—Consumer Complaint Information System  
CC .012—Freedom of Information Index and Log  
CC .013—Enforcement and Compliance Information System  
CC .014—Personnel Security/Investigation Files/Employee Applicant Reference File  
CC .015—Chain Banking Organizations System  
CC .016—Litigation Information System  
CC .221—Registration Records for Municipal and United States Government Securities Dealers (formerly: Professional Qualification Records for Municipal Securities Principals, Municipal Securities Representatives, and U.S. Government Securities Associated Persons)  
CC .300—Administrative Personnel System  
CC .310—Financial System  
CC .320—General Personnel System  
CC .500—Chief Counsel's Management Information System

**U.S. Customs Service (CS)**

CS .001—Acceptable Level of Competence, Negative Determination  
CS .002—Accident Reports  
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CS .009—Acting Customs Inspector (Excepted)  
CS .021—Arrest/Seizure/Search Report and Notice of Penalty File  
CS .022—Attorney Case File  
CS .030—Bankrupt Parties-In-Interest  
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CS .032—Biographical Files (Headquarters)  
CS .040—Carrier File  
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CS .042—Case and Complaint File  
CS .043—Case Files (Associate Chief Counsel—Gulf Customs Management Center) (formerly Case Files (Regional Counsel—South Central Region))  
CS .044—Certificates of Clearance  
CS .045—Claims Act File

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 CS .054—Confidential Statements of Employment and Financial Interests  
 CS .056—Congressional and Public Correspondence File  
 CS .057—Container Station Operator Files  
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 CS .077—Disciplinary Action, Grievance and Appeal Case Files  
 CS .078—Disclosure of Information File  
 CS .081—Dock Passes  
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 CS .096—Fines, Penalties and Forfeiture Control and Information Retrieval System  
 CS .098—Fines, Penalties and Forfeitures Records  
 CS .099—Fines, Penalties and Forfeiture Records (Supplemental Petitions)  
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 CS .123—Injury Notice  
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 CS .148—Military Personnel and Civilian Employees' Claims Act File  
 CS .151—Motor Vehicle Accident Reports  
 CS .156—Narcotics Violator File  
 CS .159—Notification of Personnel Management Division when an Employee is placed under investigation by the Office of Internal Affairs  
 CS .162—Organization (Customs) and Automated Position Management System (COAPMS)  
 CS .163—Outside Employment Requests  
 CS .165—Overtime Earnings  
 CS .170—Overtime Reports  
 CS .171—Pacific Basin Reporting Network  
 CS .172—Parking Permits File  
 CS .186—Personnel Search  
 CS .190—Personnel Case File  
 CS .193—Operating Personnel Folder Files  
 CS .196—Preclearance Costs  
 CS .197—Private Aircraft/Vessel Inspection Reporting System  
 CS .201—Property File, Non-Expendable  
 CS .206—Regulatory Audits of Customhouse Brokers  
 CS .207—Reimbursable Assignment/Workticket System (formerly: Reimbursable Assignment System)  
 CS .208—Restoration of Forfeited Annual Leave Cases  
 CS .209—Resumes of Professional Artists  
 CS .211—Sanction List  
 CS .212—Search/Arrest/Seizure Report  
 CS .214—Seizure File  
 CS .215—Seizure Report File  
 CS .224—Suspect Persons Index

CS .226—Television System  
 CS .227—Temporary Importation Under Bond (TIB) Defaulter Control System  
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 CS .238—Training and Career Individual Development Plans  
 CS .239—Training Records  
 CS .244—Treasury Enforcement Communications System  
 CS .249—Uniform Allowance-Unit Record  
 CS .251—Unscheduled Overtime Report  
 CS .252—Valuables Shipped Under Government Losses in Shipment Act  
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 CS .260—Warehouse Proprietor Files  
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 CS .268—Military Personnel and Civilian Employees' Claim Act File  
 CS .269—Accounts Payable Voucher File  
 CS .270—Background-Record File on Non-Customs Employees  
 CS .271—Cargo Security Record System  
 CS .272—Currency Declaration File (Customs Form 4790)  
 CS .274—Importers, Brokers, Carriers, Individuals and Sureties Master File  
 CS .278—Automated Commercial System (ACS)  
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 CS .285—Automated Index to Central Investigative Files (formerly: Automated Index to Central Enforcement Files)  
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#### **Bureau of Engraving and Printing (BEP)**

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 BEP .004—Counseling Records  
 BEP .005—Compensation Claims  
 BEP .006—Debt Files (Employees)  
 BEP .014—Employee's Production Record  
 BEP .016—Employee Suggestions  
 BEP .020—Industrial Truck Licensing Records  
 BEP .021—Investigative Files  
 BEP .027—Programmable Access Security System (PASS)  
 BEP .035—Tort Claims (Against the United States)  
 BEP .038—Unscheduled Absence Record  
 BEP .040—Freedom of Information and Privacy Act Requests  
 BEP .041—Record of Discrimination Complaints  
 BEP .043—Parking Program Records  
 BEP .044—Personnel Security Files and Indices  
 BEP .045—Mail Order Sales Customer Files  
 BEP .046—Automated Mutilated Currency Tracking System

#### **Federal Law Enforcement Training Center (FLETC)**

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 FLETC .002—FLETC Trainee Records  
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#### **Financial Management Service (FMS)**

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 FMS .002—Payment Issue Records for Regular Recurring Benefit Payments  
 FMS .003—Claims and Inquiry Records on Treasury Checks, and International Claimants

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 FMS .007—Payroll and Pay Administration  
 FMS .008—Personnel Security Records  
 FMS .010—Records of Accountable Officers' Authority with Treasury  
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 FMS .013—Gifts to the United States  
 FMS .014—Debt Collection Operations System  
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#### **Internal Revenue Service (IRS)**

IRS 00.001—Correspondence Files and Correspondence Control Files  
 IRS 00.002—Correspondence Files/Inquiries About Enforcement Activities  
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 IRS 21.001—Tax Administration Resources File, Office of Tax Administration Advisory Services  
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 IRS 22.043—Potential Refund Litigation Case Files  
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 IRS 26.009—Lien Files (Open and Closed)  
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- IRS 26.013—Trust Fund Recovery Cases/One Hundred Percent Penalty Cases (formerly: One Hundred Percent Penalty Cases)
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- IRS 26.020—Taxpayer Delinquency Investigation (TDI) Files
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- IRS 46.011—Illinois Land Trust Files, Criminal Investigation Division
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- IRS 60.006—Enrollee Charge Investigation Files, Inspection
- IRS 60.007—Miscellaneous Information File, Inspection
- IRS 60.008—Security, Background, and Character Investigation Files, Inspection
- IRS 60.009—Special Inquiry Investigation Files, Inspection
- IRS 60.010—Tort Investigation Files, Inspection
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- IRS 70.001—Individual Income Tax Returns, Statistics of Income
- IRS 90.001—Chief Counsel Criminal Tax Case Files
- IRS 90.002—Chief Counsel Disclosure Litigation Case Files
- IRS 90.003—Chief Counsel General Administrative Systems
- IRS 90.004—Chief Counsel General Legal Services Case Files
- IRS 90.005—Chief Counsel General Litigation Case Files
- IRS 90.007—Chief Counsel Legislation and Regulations Division, Employee Plans and Exempt Organizations Division, and Associate Chief Counsel (Technical and International) Correspondence and Private Bill File
- IRS 90.009—Chief Counsel Field Services Case Files
- IRS 90.010—Digest Room Files Containing Briefs, Legal Opinions, and Digests of Documents Generated Internally or by the Department of Justice Relating to the Administration of the Revenue Laws
- IRS 90.011—Attorney Recruiting Files
- IRS 90.013—Legal Case Files of the Chief Counsel, Deputy Chief Counsel, and Associate Chief Counsels (Litigation), (Domestic), (International), and (Employee Benefits and Exempt Organizations)
- IRS 90.015—Reference Records of the Library in the Office of Chief Counsel
- IRS 90.016—Counsel Automated Tracking System (CATS) Records
- IRS 90.017—Correspondence Control and Records, Associate Chief Counsel (Technical and International)
- IRS 90.018—Expert Witness Library
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- Mint .001—Cash Receivable Accounting Information System
- Mint .002—Current Employee Security Identification Record
- Mint .003—Employee and Former Employee Travel and Training Accounting Information System

Mint .004—Occupational Safety and Health, Accident and Injury Records, and Claims for Injuries or Damage Compensation Records

Mint .005—Employee-Supervisor Performance Evaluation, Counseling, and Time and Attendance Records

Mint .007—General Correspondence

Mint .008—Criminal Investigations Files

Mint .009—Mail order and catalogue sales system (MACS), customer mailing list, order processing record for coin sets, medals and numismatic items, and records of undelivered orders, product descriptions, availability and inventory (formerly Numismatic Coin Operations System (NUCOS) Records, Customer Mailing List, Order Processing Record for Coin Sets, Medals and Numismatic Items, and records of undelivered orders)

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#### **Bureau of the Public Debt (BPD)**

BPD .001—Human Resources and Administrative Records (formerly: Personnel and Administrative Records)

BPD .002—United States Savings Type Securities

BPD .003—United States Securities (Other than Savings Type Securities)

BPD .004—Controlled Access Security System

BPD .005—Employee Assistance Records

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BPD .007—Gifts to Reduce the Public Debt

#### **United States Secret Service (USSS)**

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USSS .002—Chief Counsel Record System

USSS .003—Criminal Investigation Information System

USSS .004—Financial Management Information System

USSS .005—Freedom of Information Request System

USSS .006—Non-Criminal Investigation Information System

USSS .007—Protection Information System

USSS .008—Public Affairs Record System

USSS .009—Training Information System

USSS Appendix A

#### **Office of Thrift Supervision (OTS)**

OTS .001—Confidential Individual Information System

OTS .002—Correspondence/Correspondence Tracking

OTS .003—Consumer Complaint

OTS .004—Criminal Referral Database

OTS .005—Employee Counseling Service

OTS .006—Employee Locator File

OTS .007—Employee Parking

OTS .008—Employee Training Database

OTS .010—Inquiry/Request Control

OTS .011—Positions/Budget

OTS .012—Payroll/Personnel Systems & Payroll Records

OTS .013—Personnel Security and Suitability Program

#### **Systems Covered by This Notice**

This notice covers all systems of records adopted up to September 30, 1998.

#### **Departmental Offices**

##### **TREASURY/DO .002**

##### **SYSTEM NAME:**

Treasury Integrated Management Information Systems (TIMIS)—Treasury/DO.

##### **SYSTEM LOCATION:**

The system management staff of TIMIS is located at 740 15th Street NW, Suite 400, Washington, DC 20005. The TIMIS processing site is located at the United States Department of Agriculture National Finance Center, 13800 Old Gentilly Road, New Orleans, LA 70129.

##### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Current and historical payroll/personnel data of employees of all Treasury bureaus and organizations, except the Office of Thrift Supervision (OTS).

##### **CATEGORIES OF RECORDS IN THE SYSTEM:**

Information contained in the records of the TIMIS system include such data as: (1) Employee identification and status data such as name, social security number, date of birth, sex, race and national origin designator, awards received, suggestions, work schedule, type of appointment, education, training courses attended, veterans preference, and military service. (2) Employment data such as service computation for leave, date probationary period began, date of performance rating, and date of within-grade increases. (3) Position and pay data such as position identification number, pay plan, step, salary and pay basis, occupational series, organization location, and accounting classification codes. (4) Payroll data such as earnings (overtime and night differential), deductions (Federal, state and local taxes, bonds and allotments), and time and attendance data. (5) Employee retirement and Thrift Savings Plan data. (6) Tables of data for editing, reporting and processing personnel and pay actions. These include nature of action codes, civil service authority codes, standard remarks, signature block table, position title table, financial organization table, and salary tables.

##### **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Office of Personnel Management Manual, 50 U.S.C. App. 1705–1707; 31 U.S.C. and Departmental Circular 145 and 830. The Department of the Treasury Fiscal Requirements Manual; 5

U.S.C. 301; FPM Letter 298–10, Office of Personnel Management; Federal Personnel Manual (Chapter 713 Subchapter 3A).

##### **PURPOSE(S):**

The purposes of the system include, but are not limited to: (1) Maintaining current and historical payroll records which are used to compute and audit pay entitlement; to record history of pay transactions; to record deductions, leave accrued and taken, bonds due and issued, taxes paid; maintaining and distributing Leave and Earnings statements; commence and terminate allotments; answer inquiries and process claims, and (2) maintaining current and historical personnel records and preparing individual administrative transactions relating to education and training, classification; assignment; career development; evaluation; promotion, compensation, separation and retirement; making decisions on the rights, benefits, entitlements and the utilization of individuals; providing a data source for the production of reports, statistical surveys, rosters, documentation, and studies required for the orderly personnel administration within Treasury.

##### **ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Furnish data to the Department of Agriculture, National Finance Center (which provides payroll/personnel processing services for TIMIS under a cross-servicing agreement) affecting the conversion of Treasury employee payroll and personnel processing services to TIMIS; the issuance of paychecks to employees and distribution of wages; and the distribution of allotments and deductions to financial and other institutions, some through electronic funds transfer; (2) furnish the Internal Revenue Service and other jurisdictions which are authorized to tax the employee's compensation with wage and tax information in accordance with a withholding agreement with the Department of the Treasury pursuant to 5 U.S.C. 5516, 5217, and 5520, for the purpose of furnishing employees with Forms W-2 which report such tax distributions; (3) provide records to the Office of Personnel Management, Merit Systems Protection Board, Equal Employment Opportunity Commission, and General Accounting Office for the purpose of properly administering Federal personnel systems or other agencies' systems in accordance with

applicable laws, Executive Orders, and regulations; (4) furnish another Federal agency information to effect interagency salary or administrative offset, except that addresses obtained from the Internal Revenue Service shall not be disclosed to other agencies; to furnish a consumer reporting agency information to obtain commercial credit reports; and to furnish a debt collection agency information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service are routinely released to consumer reporting agencies to obtain credit reports and to debt collection agencies for collection services; (5) disclose information to a Federal, state, local or foreign agency maintaining civil, criminal or other relevant enforcement information or other pertinent information which has requested information relevant to or necessary to the requesting agency's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (6) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena where relevant or potentially relevant to a proceeding, or in connection with criminal law proceedings; (7) disclose information to foreign governments in accordance with formal or informal international agreements; (8) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (9) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relates to civil and criminal proceedings; (10) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (11) provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (12) provide wage and separation information to another agency, such as the Department of Labor or Social Security Administration, as required by law for payroll purposes; (13) provide information to a Federal, state, or local agency so that the agency may adjudicate an individual's eligibility for a benefit, such as a state employment compensation board, housing administration agency and Social Security Administration; (14) disclose pertinent information to

appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violation of, or for implementing a statute, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil, or criminal law or regulation; (15) disclose information about particular Treasury employees to requesting agencies or non-Federal entities under approved computer matching efforts, limited to only those data elements considered relevant to making a determination of eligibility under particular benefit programs administered by those agencies or entities or by the Department of the Treasury or any constituent unit of the Department, to improve program integrity, and to collect debts and other monies owed under those programs (i.e., matching for delinquent loans or other indebtedness to the government); (16) disclose to the Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services, the names, social security numbers, home addresses, dates of birth, dates of hire, quarterly earnings, employer identifying information, and State of hire of employees, for the purposes of locating individuals to establish paternity, establishing and modifying orders of child support, identifying sources of income, and for other child support enforcement activities as required by the Personal Responsibility and Work Opportunity Reconciliation Act (Welfare Reform Law, Pub. L. 104-193).

#### **DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Disclosures may be made pursuant to 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982; debt information concerning a government claim against an individual is also furnished, in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365), to consumer reporting agencies to encourage repayment of an overdue debt. Disclosures may be made to a consumer reporting agency as defined in the Fair Credit Reporting Act, 15 U.S.C. 1681a(f) or the Federal Claims Collection Act of 1966, 31 U.S.C. 701(a)(3).

#### **POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

##### **STORAGE:**

Magnetic media, microfiche, and hard copy. Disbursement records are stored at the Federal Records Center.

#### **RETRIEVABILITY:**

Records are retrieved generally by social security number, position identification number within a bureau and region, or employee name. Secondary identifiers are used to assure accuracy of data accessed, such as master record number or date of birth.

#### **SAFEGUARDS:**

Entrance to data centers and support organization offices are restricted to those employees whose work requires them to be there for the system to operate. Identification (ID) cards are verified to ensure that only authorized personnel are present. Disclosure of information through remote terminals is restricted through the use of passwords and sign-on protocols which are periodically changed. Reports produced from the remote printers are in the custody of personnel and financial management officers and are subject to the same privacy controls as other documents of like sensitivity.

#### **RETENTION AND DISPOSAL:**

The current payroll and personnel system and the Treasury Integrated Management Information Systems (TIMIS) master files are kept on magnetic media. Information rendered to hard copy in the form of reports and payroll information documentation is also retained in automated magnetic format. Employee records are retained in automated form for as long as the employee is active on the system (separated employee records are maintained in an "inactive" status). Files are purged in accordance with Treasury Directives Manual TD 25-02, "Records Disposition Management Program."

#### **SYSTEM MANAGER(S) AND ADDRESS:**

Director, Treasury Integrated Management Information Systems (System Manager for TIMIS), 740 15th Street NW, Suite 400, Washington, DC 20005.

#### **NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are identified in this system, or to gain access to records maintained in the system, must submit a written request containing the following elements: (1) Identification of the record system; (2) identification of the category and types of records sought; and (3) at least two items of secondary identification (e.g. employee name and date of birth, employee identification number, date of employment or similar information). The individual's identity must be verified by one other identifier, such as a photocopy of a driver's license or

other official document bearing the individual's signature. Alternatively, a notarized statement may be provided. Address inquiries to Assistant Director, Disclosure Services, Department of the Treasury, 1500 Pennsylvania Avenue, NW, Room 1054-MT, Washington, DC 20220.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The information contained in these records is provided by or verified by the subject of the record, supervisors, and non-Federal sources such as private employers.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .004**

**SYSTEM NAME:**

Personnel Security System—Treasury/DO.

**SYSTEM LOCATION:**

For individuals in category (a), Room 3210 Treasury Annex, 1500 Pennsylvania Avenue, NW., Washington, DC 20220. For individuals in category (b), Room 3020 Treasury Annex, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(a) Current and former senior officials of the Department and Treasury bureaus, and those within the Department who are involved in Personnel Security matters. (b) Current and former government employees or applicants occupying or applying for sensitive positions in the Department.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Background investigations, (2) FBI and other agency name checks, and (3) investigative information relating to personnel investigations conducted by the Department of the Treasury and other Federal agencies and departments on preplacement and postplacement basis to make suitability and employability determinations and for granting security clearances. Card records comprised of Notice of Personnel Security Investigation (TD F 67-32.2) or similar, previously used card indexes, and an automated data system reflecting identification data on applicants, incumbents and former employees, and record type of E.O. 10450 investigations and degree and date of security clearance, if any, as well as status of investigations.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

E.O. 10450, Sections 2 and 3, E.O. 12958, and E.O. 12968.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to disclose information to departmental officials or other Federal agencies relevant to, or necessary for, making suitability or employability retention or security clearance determinations.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

File folders, index cards, and magnetic media.

**RETRIEVABILITY:**

Records are retrieved by name.

**SAFEGUARDS:**

Records are stored in locked metal containers and in locked rooms. They are limited to officials who have a need to know in the performance of their official duties.

**RETENTION AND DISPOSAL:**

Active files are retained during incumbent tenure and are subject to update personnel investigation. Files of employees who effect intra-agency transfers (between Treasury bureaus) are automatically transferred to the gaining bureaus. When an employee transfers to another government agency or leaves the Federal government, files are retained, separate from the active files, for no more than five years. Background investigations completed by OPM may be returned to that agency or destroyed. Card indexes are periodically updated to reflect changes and maintained as long as needed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director of Security, Room 3210 Treasury Annex, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be informed if they are named in this system or gain access to records maintained in the system must submit a written, signed request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment, or similar information). Address inquiries to Assistant Director, Disclosure Services (see "Record access procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

The information provided or verified by applicants or employees whose files are on record as authorized by those concerned, information obtained from current and former employers, co-workers, neighbors, acquaintances, educational records and instructors, and police and credit record checks.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4)(G), through (e)(4)(I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(5).

**TREASURY/DO .005**

**SYSTEM NAME:**

Grievance Records—Treasury/DO.

**SYSTEM LOCATION:**

These records are located in personnel or designated offices in the bureaus in which the grievances were filed.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Current or former Federal employees who have submitted grievances with their bureaus in accordance with part 771 of the Office of Personnel Management's (OPM) regulations (5 CFR part 771), the Treasury Employee Grievance System (TPM Chapter 771), or a negotiated procedure.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The system contains records relating to grievances filed by Treasury employees under part 771 of the OPM's regulations. These case files contain all documents related to the grievance including statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original and final decision, and related correspondence and exhibits. This system includes files and records of internal grievance and arbitration systems that bureaus and/or the Department may establish through negotiations with recognized labor organizations.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 1302, 3301, 3302; E.O. 10577; 3 CFR 1954-1958 Comp., p. 218; E.O. 10987; 3 CFR 1959-1963 Comp., p. 519;

agency employees, for personal relief in a matter of concern or dissatisfaction which is subject to the control of agency management.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used: (1) To disclose pertinent information to the appropriate Federal, state, or local agency responsible for investigating, prosecuting, enforcing, or implementing a statute, rule, regulation, or order, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) to disclose information to any source from which additional information is requested in the course of processing in a grievance, to the extent necessary to identify the individual, inform the source of the purpose(s) of the request, and identify the type of information requested; (3) to disclose information to a Federal agency, in response to its request, in connection with the hiring or retention of an individual, the issuance of a security clearance, the conducting of a security or suitability investigation of an individual, the classifying of jobs, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to requesting the agency's decision on the matter; (4) to provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (5) to disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court; (6) by the National Archives and Records Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2908; (7) by the bureau maintaining the records of the Department in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference; (8) to disclose information to officials of the Merit Systems Protection Board, including the Office of the Special Counsel, the Federal Labor Relations Authority and its General Counsel, the Equal Employment Opportunity

Commission, or the Office of Personnel Management when requested in performance of their authorized duties; (9) to disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing Counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings; (10) to provide information to officials of labor organizations reorganized under the Civil Service Reform Act when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting work conditions.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

File folders.

**RETRIEVABILITY:**

By the names of the individuals on whom they are maintained.

**SAFEGUARDS:**

Lockable metal filing cabinets to which only authorized personnel have access.

**RETENTION AND DISPOSAL:**

Disposed of 3 years after closing of the case. Grievances filed against disciplinary adverse actions are retained by the United States Secret Service for 4 years. Disposal is by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESSES:**

ATF (Alcohol, Tobacco and Firearms), Chief, Personnel Division, 650 Massachusetts Ave., NW., Washington, DC 20226.

*Customs*

Director, Office of Human Resources, Ronald Reagan Building, Room 2.4A, 1300 Pennsylvania Avenue, NW, Washington, DC 20229

E&P (Engraving and Printing), Chief, Office of Industrial Relations, 14th & C Streets, SW., Room 202-13A, E&P Annex, Washington, DC 20228

FLETC (Federal Law Enforcement Training Center), Personnel Officer, Building 94, Room 1F-14, Glynco, GA 31524.

FMS (Financial Management Service), Director, Personnel Management Division, Prince George Metro Center II, 3700 East West Hwy, Room 115-F, Hyattsville, MD 20782

IRS (Internal Revenue Service), Director, Human Resources Division, 1111

Constitution Avenue, NW, Room 1408 IR, Washington, DC 20224

DO (Departmental Offices), Chief, Personnel Resources, Room 1316 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220

PD (Public Debt), Director, Personnel Management Division, 300 13th Street, SW., Room 446-4, E&P Annex, Washington, DC 20239.

SS (Secret Service), Chief, Personnel Division, 1800 G Street, NW, Room 901, Washington DC 20223

*Mint*

Assistant Director for Human Resources, 633 3rd Street, NW, Room 147, Washington, DC 20004

OCC (Office of Comptroller of the Currency), Director, Human Resources, 250 E Street, SW, Washington, DC 20219

OTS (Office of Thrift Supervision), Manager, Human Resources Branch, 2nd Floor, 1700 G Street, NW, Washington, DC 20552

Records pertaining to administrative grievances filed at the Departmental level: Director, Office of Personnel Policy, Room 4150-Annex, Pennsylvania Ave. at Madison Place, NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

It is required that individuals submitting grievances be provided a copy of the record under the grievance process. They may, however, contact the agency personnel or designated office where the action was processed, regarding the existence of such records on them. They must furnish the following information for their records to be located and identified: (1) Name, (2) date of birth, (3) approximate date of closing of the case and kind of action taken, (4) organizational component involved.

**RECORD ACCESS PROCEDURES:**

It is required that individuals submitting grievances be provided a copy of the record under the grievance process. However, after the action has been closed, an individual may request access to the official copy of the grievance file by contacting the bureau personnel or designated office where the action was processed. Individuals must provide the following information for their records to be located and identified: (1) Name, (2) date of birth, (3) approximate date of closing of the case and kind of action taken, (4) organizational component involved.

**CONTESTING RECORD PROCEDURES:**

Review of requests from individuals seeking amendment of their records



which have been the subject of a judicial or quasi-judicial action will be limited in scope. Review of amendment requests of these records will be restricted to determining if the record accurately documents the action of the agency ruling on the case, and will not include a review of the merits of the action, determination, or finding. Individuals wishing to request amendment to their records to correct factual errors should contact the bureau personnel or designated office where the grievance was processed. Individuals must furnish the following information for their records to be located and identified: (1) name, (2) date of birth, (3) approximate date of closing of the case and kind of action taken, (4) organizational component involved.

#### RECORD SOURCE CATEGORIES:

Information in this system of records is provided: (1) By the individual on whom the record is maintained, (2) by testimony of witnesses, (3) by agency officials, (4) from related correspondence from organizations or persons.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

#### TREASURY/DO .007

#### SYSTEM NAME:

General Correspondence Files—Treasury/DO.

#### SYSTEM LOCATION:

Departmental Offices, Department of the Treasury, 1500 Pennsylvania Ave., NW, Washington, DC 20220. Components of this record system are in the following offices within the Departmental Offices:

- Office of Foreign Assets Control
- Office of Tax Policy
- Office of the Assistant Secretary for International Affairs
- Office of the Executive Secretariat
- Office of Public Correspondence
- Office of Legislative Affairs

#### CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Members of Congress, U.S. Foreign Service officials, officials and employees of the Treasury Department, officials of municipalities and state governments, and the general public, foreign nationals, members of the news media, businesses, officials and employees of other Federal Departments and agencies.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

Incoming correspondence and replies pertaining to the mission, function, and operation of the Department, tasking

sheets, and internal Treasury memorandum.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

#### PURPOSE(S):

The manual systems and/or electronic databases (e.g., Treasury Automated Document System (TADS)) used by the system managers are to manage the high volume of correspondence received by the Departmental Offices and to accurately respond to inquiries, suggestions, views and concerns expressed by the writers of the correspondence. It also provides the Secretary of the Treasury with sentiments and statistics on various topics and issues of interest to the Department.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records and information in these records may be used to: (1) Provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (2) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (3) provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (4) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (5) provide information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (6) provide information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings.

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Paper records, file folders and magnetic media.

##### RETRIEVABILITY:

By name of individual or letter number, address, assignment control number, or organizational relationship.

#### SAFEGUARDS:

Access is limited to authorized personnel with a direct need to know. Rooms containing the records are locked after business hours. Some folders are stored in locked file cabinets in areas of limited accessibility except to employees. Others are stored in electronically secured areas and vaults. Access to electronic records is by password.

#### RETENTION AND DISPOSAL:

Some records are maintained for three years, then destroyed by burning. Other records are updated periodically and maintained as long as needed. Some electronic records are periodically updated and maintained for two years after date of response; hard copies of those records are disposed of after three months in accordance with the NARA schedule. Paper records of the Office of the Executive Secretary are stored indefinitely at the Federal Records Center.

#### SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Foreign Assets Control, U.S. Treasury Department, Room 2233, Treasury Annex, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Freedom of Information Act Officer, Office of Tax Policy, U.S. Treasury Department, Room 1041-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220

Director, OASIA Secretariat, U.S. Treasury Department, Room 5422-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220

Office of the Executive Secretariat, U.S. Treasury Department, Room 3419-MT, Washington, DC 20220

Director, Office of Public Correspondence, U.S. Treasury Department, Room 2124-MT, Washington, DC 20220

Director, Office of Legislative Affairs, U.S. Treasury Department, Room 3132-MT, Washington, DC 20220

#### NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in this system may inquire in accordance with instructions appearing at 31 CFR part 1, subpart C, appendix A. Individuals must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to

Assistant Director, Disclosure Services (see "Record access procedures" below).

Record Access Procedures: Assistant Director, Disclosure Services, Department of the Treasury, Room 1054-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Members of Congress or other individuals who have corresponded with the Departmental Offices, other governmental agencies (Federal, state and local), foreign individuals and official sources.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .010**

**SYSTEM NAME:**

Office of Domestic Finance, Actuarial Valuation System—Treasury/DO.

**SYSTEM LOCATION:**

Departmental Offices, Office of Government Financing, Office of the Government Actuary, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Participants and beneficiaries of the Foreign Service Retirement and Disability System and the Foreign Service Pension System. Covered employees are located in the following agencies: Department of State, Department of Agriculture, United States Information Agency, Agency for International Development, Peace Corps, and the Department of Commerce.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information in the system is as follows: Active Records: Name; social security number; salary; category-grade; year of entry into system; service computation date; year of birth; year of resignation or year of death, and refund if any; indication of LWOP status (if any); Retired Records: Same as actives; annuity; year of separation; cause of separation (optional, disability, deferred, etc.); years and months of service by type of service; single or married; spouse's year of birth; principal's year of death; number of children on annuity roll; children's years of birth and annuities.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

22 U.S.C. 1101.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Data regarding specific individuals is released only to the contributing agency for purposes of verification.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Data are on computer tapes and computer printouts.

**RETRIEVABILITY:**

Alphabetically.

**SAFEGUARDS:**

Records are stored in the Actuary's office. Access is restricted to employees of the Office of the Government Actuary.

**RETENTION AND DISPOSAL:**

Records are retained on a year-to-year basis. When agencies whose pension funds are valued forward new records for valuation, older records are discarded.

**SYSTEM MANAGER(S) AND ADDRESS:**

The Government Actuary, Departmental Offices, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services (see "Record access procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Data for actuarial valuation are provided by organizations responsible for pension funds listed under "category of individual," namely the Department of State, Department of Agriculture, United States Information Agency,

Agency for International Development, Peace Corps, and the Department of Commerce.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .060**

**SYSTEM NAME:**

Correspondence Files and Records on Employee Complaints and/or Dissatisfaction—Treasury/DO.

**SYSTEM LOCATION:**

Office of Personnel Policy, Room 4150-Annex, Pennsylvania Avenue at Madison Place, NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Former and current Department employees who have submitted complaints to the Office of Personnel or whose correspondence concerning a matter of dissatisfaction has been referred to the Office of Personnel.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence dealing with former and current employee complaints.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose pertinent information to appropriate Federal, state, and local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential civil or criminal law or regulation; (2) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (3) provide information to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (4) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

File folders, file cabinets.

**RETRIEVABILITY:**

By bureau and employee name.

**SAFEGUARDS:**

Maintained in filing cabinet and released only to Office of Personnel staff or other Treasury officials on a need-to-know basis.

**RETENTION AND DISPOSAL:**

Records are maintained and disposed of in accordance with Department of the Treasury Directive 25-02, "Records Disposition Management Program" and the General Records Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

The Government Actuary, Departmental Offices, 1500 Pennsylvania Ave., NW, Washington, DC 20220. Avenue at Madison Place NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Persons inquiring as to the existence of a record on themselves may contact: Assistant Director, (Human Relations) Department of the Treasury, Room 4150-Annex, Pennsylvania Avenue at Madison Place, NW, Washington, DC 20220. The inquiry must include the individual's name and employing bureau.

**RECORD ACCESS PROCEDURES:**

Persons seeking access to records concerning themselves may contact: The Director, Office of Personnel Policy, Department of the Treasury, Room 4150-Annex, Pennsylvania Avenue at Madison Place, NW, Washington, DC 20220. The inquiry must include the individual's name and employing bureau.

**CONTESTING RECORD PROCEDURES:**

Individuals wishing to request amendment to their records to correct factual error should contact the Director of Personnel at the address shown in Access, above. They must furnish the following information: (a) Name; (b) employing bureau; (c) the information being contested; (d) the reason why they believe information is untimely, inaccurate, incomplete, irrelevant, or unnecessary.

**RECORD SOURCE CATEGORIES:**

Current and former employees, and/or representatives, employees' relatives, Congressmen, the White House, management officials.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .068****SYSTEM NAME:**

Time-In-Grade Exception Files—Treasury/DO. System location: Room

1462-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons employed by, or proposed for employment by, the Department of the Treasury and for whom an exception to Time-In-Grade Restrictions is sought.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

A collection of documents required for approval of exceptions to Time-In-Grade Requirements including: Request for Approval of Non-Competitive Action (SF-59); Personal Qualifications Statement (SF-171); Position Description (OF-8); and, in some instances, Request for Personnel Action (SF-52); and memoranda of justification.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, and 5 U.S.C. 1104.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Information from these records may be disclosed to (1) the Office of Personnel Management for audit of exceptions granted, and (2) a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

File cabinet.

**RETRIEVABILITY:**

Indexed by name in log and filed chronologically.

**SAFEGUARDS:**

Access is limited to authorized Treasury personnel and management officials on a need-to-know basis.

**RETENTION AND DISPOSAL:**

Records are retained for 2 years and are destroyed by standard destruction methods including burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Personnel Resources, Room 1462-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Director, Personnel Resources, Room 1316-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220. The individual is required to provide his/her name and the Treasury organizational assignment, position title, grade/salary, and approximate date of the Time-In-Grade exception requested.

**RECORD ACCESS PROCEDURES:**

Director, Personnel Resources Directorate, Room 1316-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

The documents which constitute this system, and which are listed under Categories of Records, came from the individual employee or applicant, his servicing personnel office, and other concerned management officials within the Department of the Treasury.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .111****SYSTEM NAME:**

Office of Foreign Assets Control Census Records—Treasury/DO.

**SYSTEM LOCATION:**

Office of Foreign Assets Control Treasury Annex, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Although most reporters in the Census in this system of records are not individuals, such censuses reflect some small number of U.S. individuals as holders of assets subject to U.S. jurisdiction which are blocked under the various sets of Treasury Department regulations involved.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Reports of several censuses of U.S.-based, foreign-owned assets which have been blocked at any time since 1940 under Treasury Department regulations found under 31 CFR subpart B, chapter V.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

50 U.S.C., App. 5(b); 22 U.S.C. 2370(a); 50 U.S.C. 1701 *et seq.*; and 31 CFR chapter V.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to appropriate state agencies which are concerned with or responsible for abandoned property; (2) disclose information to foreign governments in accordance with formal or informal international agreements; (3) provide information to a Congressional office in response to an inquiry made at the request of the individual to whom

the record pertains; (4) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (5) provide certain information to appropriate senior foreign-policy-making officials in the Department of State.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records stored on magnetic media and/or as hard copy documents.

**RETRIEVABILITY:**

By name of holder or custodian or owner of blocked property.

**SAFEGUARDS:**

Locked room, or in locked file cabinets located in areas in which access is limited to Foreign Assets Control employees. Computerized records are password-protected.

**RETENTION AND DISPOSAL:**

Records are periodically updated and maintained as long as needed. When no longer needed, records are retired to Federal Records Center or destroyed in accordance with established procedures.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Foreign Assets Control, Room 2233-Annex, Department of the Treasury, NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in the system, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of record sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services (See "Record access Procedures" below.)

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Custodians or other holders of blocked assets.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .114**

**SYSTEM NAME:**

Foreign Assets Control Enforcement Records—Treasury/DO.

**SYSTEM LOCATION:**

Office of Foreign Assets Control, Treasury Annex, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who have engaged in or who are suspected of having engaged in transactions and activities prohibited by Treasury Department regulations found at 31 CFR subpart B, chapter V.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Documents related to suspected or actual violations of relevant statutes and regulations administered by the Office of Foreign Assets Control.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

50 U.S.C., App. 5(b); 50 U.S.C. 1701 *et seq.*; 22 U.S.C. 287(c); 22 U.S.C. 2370(a); and 31, CFR, Chapter V; 100 Stat. 1086, as amended by H.J. Res. 756, Pub. L. 99-631.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to appropriate Federal agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order or license; (2) disclose information to a Federal, state, or local agency, maintaining civil, criminal or other relevant enforcement or other pertinent information, which has requested information relevant to or necessary to the requesting agency's official functions; (3) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in response to a subpoena or in connection with criminal law proceedings; (4) disclose information to foreign governments in accordance with formal or informal international agreements; (5) provide information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) provide information to third parties during the course of an

investigation to the extent necessary to obtain information pertinent to the investigation.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

File folders and magnetic media.

**RETRIEVABILITY:**

By name of individual.

**SAFEGUARDS:**

Folders in locked file cabinets are located in areas of limited accessibility. Computerized records are password-protected.

**RETENTION AND DISPOSAL:**

Records are periodically updated and are maintained as long as necessary. When no longer needed, records are retired to Federal Records Center or destroyed in accordance with established procedures.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Foreign Assets Control, Room 2233-Annex, U.S. Treasury Department, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

This system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

**RECORD ACCESS PROCEDURES:**

This system of records may not be accessed for purposes of inspection or for contest of content of records.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

From the individual, from the Office of Foreign Assets Control investigations, and from other federal, state or local agencies.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552a(c)(3), (d), (e)(1), (e)(4), (G), (H), (I), and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

**TREASURY/DO .118**

**SYSTEM NAME:**

Foreign Assets Control Licensing Records—Treasury/DO.

**SYSTEM LOCATION:**

Office of Foreign Assets Control, Treasury Annex, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Applicants for permissive and authorizing licenses under Treasury Department regulations found at 31 CFR subpart B, chapter V.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Applications for Treasury licenses—together with related and supporting documentary material and copies of licenses issued.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

50 U.S.C., App. 5(b); 22 U.S.C. 2370(a); 22 U.S.C. 287(c); 50 U.S.C. 1701 *et seq.*; 31 CFR, chapter V; 100 Stat. 1086, as amended by H.J. Res. 756, Pub. L. 99-631.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violation of, or for enforcing or implementing, a statute, rule, regulation, order, or license; (2) disclose information to the Department of State, Commerce, Defense or other federal agencies, in connection with Treasury licensing policy or other matters of mutual interest or concern; (3) disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement or other pertinent information, which has requested information relevant to or necessary to the requesting agency's official functions; (4) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or witnesses, in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena or in connection with criminal law proceedings; (5) disclose information to foreign governments in accordance with formal or informal international agreements; (6) provide information to a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

File folders and magnetic media.

**RETRIEVABILITY:**

The records are retrieved by license or letter number.

**SAFEGUARDS:**

Folders in locked filed cabinets are located in areas of limited accessibility. Computerized records are password-protected.

**RETENTION AND DISPOSAL:**

Records are periodically updated to reflect changes and maintained as long as needed. When no longer needed, records are retired to Federal Records Center or destroyed in accordance with established procedures.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Office of Foreign Assets Control, Room 2233-Annex, Department of the Treasury, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in the system of records, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services (See "Record access procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Applicants for Treasury Department licenses under regulations administered by the Office of Foreign Assets Control.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .144****SYSTEM NAME:**

General Counsel Litigation Referral and Reporting System—Treasury/DO.

**SYSTEM LOCATION:**

U.S. Department of the Treasury, Office of the General Counsel, 1500 Pennsylvania Avenue NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons who are parties, plaintiff or defendant, in civil litigation or administrative proceedings involving or

concerning the Department of the Treasury or its officers or employees. The system does not include information on every civil litigation or administrative proceeding involving the Department of the Treasury or its officers and employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system of records consists of a computer data base containing information related to litigation or administrative proceedings involving or concerning the Department of the Treasury or its officers or employees.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; 31 U.S.C. 301.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose pertinent information to appropriate Federal, State, or foreign agencies responsible for investigating or prosecuting the violations of, or for implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (3) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena or in connection with criminal law proceedings; (4) disclose information to foreign governments in accordance with formal or informal international agreements; (5) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (7) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

The computerized records are maintained in computer data banks and printouts.

**RETRIEVABILITY:**

The computer information is accessible by the name of the non-government party involved in the case, and case number and docket number (when available).

**SAFEGUARDS:**

Access is limited to employees who have a need for such records in the course of their work. Background checks are made on employees. All facilities where records are stored have access limited to authorized personnel.

**RETENTION AND DISPOSAL:**

The computer information is maintained for up to ten years after a record is created.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate General Counsel  
(Legislation, Litigation, and Regulation),  
Office of the General Counsel,  
Department of the Treasury, 1500  
Pennsylvania Ave., NW., Washington,  
DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) An identification of the record system; and (2) an identification of the category and type of records sought. This system contains records that are exempt under 31 CFR 1.36; 5 U.S.C. 552a(j)(2); and (k)(2). Address inquiries to Assistant Director, Disclosure Services, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Treasury Department Legal Division, Department of Justice Legal Division.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552a(d), (e)(1), (e)(3), (e)(4)(G), (H), (I),

and (f) of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

**TREASURY/DO .149**

**SYSTEM NAME:**

Foreign Assets Control Legal Files—Treasury/DO.

**SYSTEM LOCATION:**

U.S. Department of the Treasury, Room 3133-Annex, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons who are or who have been parties in litigation involving the Office of Foreign Assets Control or statutes and regulations administered by the agency found at 31 CFR subpart B, chapter V.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information and documents relating to litigation involving the Office of Foreign Assets Control or statutes and regulations administered by the agency.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

31 U.S.C. 301; 50 U.S.C. App. 5(b); 50 U.S.C. 1701 et seq; 22 U.S.C. 278(c); and other statutes relied upon by the President to impose economic sanctions.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Prosecute, defend, or intervene in litigation related to the Office of Foreign Assets Control and statutes and regulations administered by the agency; (2) disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order or license; (3) disclose information to a Federal, State, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's official functions; (4) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings; (5) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Folders in file cabinets and magnetic media.

**RETRIEVABILITY:**

By name of private plaintiff or defendant.

**SAFEGUARDS:**

Folders are in lockable file cabinets located in areas of limited public accessibility. Where records are maintained on computer hard drives, access to the files is password-protected.

**RETENTION AND DISPOSAL:**

Records are periodically updated and maintained as long as needed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Administrative Officer, Room 3006—MT, U.S. Treasury Department, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information).

**RECORD ACCESS PROCEDURES:**

Address inquiries to Assistant Director, Disclosure Services, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Pleadings and other materials filed during course of a legal proceeding, discovery obtained pursuant to applicable court rules; materials obtained by Office of Foreign Assets Control investigation; material obtained pursuant to requests made to other Federal agencies; orders, opinions, and decisions of courts.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .150**

**SYSTEM NAME:**

Disclosure Records—Treasury/DO.

**SYSTEM LOCATION:**

Departmental Offices, Department of the Treasury, 1500 Pennsylvania Ave., NW, Washington DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who have submitted requests for information to the Departmental Offices or who have appealed initial denials to the requests.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Requests for records or information pursuant to the Freedom of Information Act, 5 U.S.C. 552, and/or the Privacy Act, 5 U.S.C. 552a, internal processing documents, memoranda, and referrals are kept by the Disclosure Office. Copies of requested records are kept by the program office responsible for fulfilling the request.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 552, 5 U.S.C. 552a, 31 CFR Part 1.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to other agencies when required for coordination of response or referral; (2) disclose information to the Department of Justice for defending law suits.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Paper files, magnetic media.

**RETRIEVABILITY:**

By name and case number.

**SAFEGUARDS:**

Stored in filing cabinets. Access limited to individuals with need to know or legitimate right to review.

**RETENTION AND DISPOSAL:**

Retained in accordance with the provisions of the Departmental records management procedures.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Deputy Assistant Secretary (Law Enforcement), Department of the Treasury, Room 4414, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

Freedom of Information Act Officer, Office of Tax Policy, Department of the Treasury, Room 4028A-MT, 1500

Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services at the above address.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Individuals who make Freedom of Information Act requests, federal officials responding to Freedom of Information Act requests, and documents from official records.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .156****SYSTEM NAME:**

Tax Court Judge Applicants—Treasury/DO.

**SYSTEM LOCATION:**

Department of the Treasury, Office of the General Counsel, Room 3000 MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals requesting consideration for appointment to Tax Court judgeships.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Information concerning the qualification of individuals for appointment to the Tax Court.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

26 U.S.C. 7443.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Information from this system may be disclosed to the White House with recommendations to the President on appointments to the Tax Court.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

File cabinets.

**RETRIEVABILITY:**

By name of individual.

**SAFEGUARDS:**

The files are kept in locked cabinets with a limited number of employees-permitted access.

**RETENTION AND DISPOSAL:**

The records relating to individuals are destroyed at the end of each administration.

**SYSTEM MANAGER(S) AND ADDRESS:**

Administrative Officer, Office of the General Counsel, Room 3006-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) Identify the category and type of records sought; (3) Provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services (See "Record access procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Individual concerned and letters of recommendation from other individuals submitted at the request of the individual and/or the Department.

**EXEMPTIONS CLAIMED FOR THE SYSTEMS:**

None.

**TREASURY/DO .183****SYSTEM NAME:**

Private Relief Tax Bill Files—Office of the Assistant Secretary for Tax Policy-Treasury/DO.

**SYSTEM LOCATION:**

Room 4040-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who have had private relief tax bills introduced in Congress on their behalf.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Congressional Committee or OMB request for Treasury views on proposed legislation, plus comments on proposal from offices or bureaus of Treasury, plus the Internal Revenue Service data concerning the issues involved and that unit's recommendation, and the report of the Treasury on the Bill.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**  
5 U.S.C. 301.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Information from this system may be disclosed to OMB and Congress.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

File Folders.

**RETRIEVABILITY:**

By bill numbers or name of person for whom relief is sought.

**SAFEGUARDS:**

Access limited to Tax Policy personnel.

**RETENTION AND DISPOSAL:**

Records are periodically updated to reflect changes and maintained as long as needed until shipped to National Archives and Records Administration.

**SYSTEM MANAGER(S) AND ADDRESS:**

Management Services, Office of Tax Policy, Room 1041-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or gain access to records maintained in this system must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services (See "Record access procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury,

Room 1054-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Principally the Congress and the Internal Revenue Service.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .190****SYSTEM NAME:**

General Allegations and Investigative Records—Treasury/DO.

**SYSTEM LOCATION:**

Office of Inspector General (OIG), Assistant Inspector General for Investigations, 1201 Constitution Avenue, NW, Washington, DC 20220; Regional Inspectors General for Investigations in Washington, DC; Houston, TX; Los Angeles, CA; and Chicago, IL; and Office of Investigations field offices in New York, NY, and Glynco, GA. Addresses may be obtained from the system manager.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(A) Current and former employees of the Department of the Treasury and persons whose association with current and former employees relate to the alleged violations of the Department's rules of conduct, the Office of Personnel Management merit system, or any other criminal or civil misconduct, which affects the integrity or facilities of the Department of the Treasury. The names of individuals and the files in their names may be: (1) Received by referral; or (2) initiated at the discretion of the Office of the Inspector General in the conduct of assigned duties. (B) Individuals who are: Witnesses; complainants; confidential or nonconfidential informants; suspects; defendants; parties who have been identified by the Office of the Inspector General, constituent units of the Department of Treasury, other agencies, or members of the general public in connection with the authorized functions of the Inspector General. (C) Current and former senior Treasury and bureau officials who are the subject of investigations initiated and conducted by the Office of the Inspector General.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(A) Letters, memoranda, and other documents citing complaints of alleged criminal or administrative misconduct. (B) Investigative files which include: (1) Reports of investigations to resolve

allegations of misconduct or violations of law with related exhibits, statements, affidavits, records or other pertinent documents obtained during investigations; (2) transcripts and documentation concerning requests and approval for consensual (telephone and consensual non-telephone) monitoring; (3) reports from or to other law enforcement bodies; (4) prior criminal or noncriminal records of individuals as they relate to the investigations; and (5) reports of actions taken by management personnel regarding misconduct and reports of legal actions resulting from violations of statutes referred to the Department of Justice for prosecution.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Inspector General Act of 1978, as Amended, 5 U.S.C.A. App.3.

**PURPOSE(S):**

The records and information collected for and maintained in this system are used to (a) receive allegations of violations of the Department's rules of conduct, the Office of Personnel Management merit system, or any other criminal or civil misconduct and to (b) prove or disprove, to the extent possible, allegations which the OIG receives that are made against Department of the Treasury employees.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation; (2) disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license, or where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit; (4) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or



settlement negotiations in response to a subpoena or in connection with criminal law proceedings; (5) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings; (7) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Paper records in file jackets are maintained in a secured locked room. Also, magnetic media maintained on the case tracking systems are password protected, secured by an internal lock and locked in a secured room. Backup of the magnetic media is maintained in a locked safe.

**RETRIEVABILITY:**

Alphabetically by name of subject or complainant, by case number, and by special agent name and/or employee number.

**SAFEGUARDS:**

Paper records and word processing disks are maintained in locked safes and all access doors are locked when offices are vacant. Automated records are controlled by computer security programs which limit access to authorized personnel who have a need for such information in the course of their duties. The records are available to Office of Inspector General personnel who have an appropriate security clearance on a need-to-know basis.

**RETENTION AND DISPOSAL:**

Investigative files and paper indices are stored on-site for 3 years. Indices to those files are stored on-site on magnetic media for an indefinite time. The magnetic media will be retained indefinitely; however, they will be updated periodically to reflect changes. Upon expiration of their respective retention periods, the investigative files are transferred to the Federal Records Center, Suitland, Maryland, for storage and in most instances destroyed by burning, maceration or pulping when 20 years old.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Inspector General for Investigations, Room 7320, 1201

Constitution Avenue, NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Pursuant to 5 U.S.C. 552a(j)(2) and (k)(2), this system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

**RECORD ACCESS PROCEDURES:**

See "Notification Procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedure" above.

**RECORD SOURCE CATEGORIES:**

See "Categories of individuals" above. This system contains investigatory material for which sources need not be reported.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552(a)(3)(4), (d)(1)(2)(3)(4), (e)(1)(2)(3), (4)(G), (H), and (I), (e)(5) and (8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

**TREASURY/DO .191**

**SYSTEM NAME:**

OIG Management Information System (MIS).

**SYSTEM LOCATION:**

Office of Inspector General (OIG), all headquarters, regional and field offices. (See appendix A.)

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Current and former employees of the Office of Inspector General.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) MIS Personnel system records contain OIG employee name, office, start of employment, series/grade, title, separation date; (2) MIS tracking records contain status information on audits, investigations and other projects from point of request or annual planning through follow-up and closure; (3) MIS Timekeeping records contain assigned projects and distribution of time; (4) MIS Equipment Inventory records contain assigned equipment; (5) MIS Travel records contain dates, type of travel and costs; (6) MIS Training records contain dates, title of training, and costs.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Inspector General Act of 1978, as amended; (5 U.S.C. Appendix 3) 5 U.S.C. 301; and 31 U.S.C. 321.

**PURPOSE(S):**

The purpose of the MIS system is to: (1) Manage effectively OIG resources

and projects; (2) capture accurate statistical data for mandated reports to the Secretary of the Treasury, the Congress, the Office of Management and Budget, the General Accounting Office, the President's Council on Integrity and Efficiency and other federal agencies; and (3) provide accurate information critical to the OIG's daily operation, including employee performance and conduct.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

(1) A record from the system of records, which indicates, either by itself or in combination with other information, a violation or potential violation of law, whether civil or criminal, and whether arising by statute, regulation, rule or order issued pursuant thereto, may be disclosed to a Federal, State, local, or foreign agency or other public authority that investigates or prosecutes or assists in investigation or prosecution of such violation, or enforces or implements or assists in enforcement or implementation of the statute, rule, regulation or order. (2) A record from the system of records may be disclosed to a Federal, State, local, or foreign agency or other public authority, or to private sector (i.e., non-Federal, State, or local government) agencies, organizations, boards, bureaus, or commissions, which maintain civil, criminal, or other relevant enforcement records or other pertinent records, such as current licenses in order to obtain information relevant to an agency investigation, audit, or other inquiry, or relevant to a decision concerning the hiring or retention of an employee or other personnel action, the issuance of a security clearance, the letting of a contract, the issuance of a license, grant or other benefit, the establishment of a claim, or the initiation of administrative, civil, or criminal action. Disclosure to the private sector may be made only when the records are properly constituted in accordance with agency requirements; are accurate, relevant, timely and complete; and the disclosure is in the best interest of the Government. (3) A record from the system of records may be disclosed to a Federal, State, local, or foreign agency or other public authority, or private sector (i.e., non-Federal, State, or local government) agencies, organizations, boards, bureaus, or commissions, if relevant to the recipient's hiring or retention of an employee or other personnel action, the issuance of a security clearance, the letting of a contract, the issuance of a license, grant or other benefit, the establishment of a

claim, or the initiation of administrative, civil, or criminal action. Disclosure to the private sector may be made only when the records are properly constituted in accordance with agency requirements; are accurate, relevant, timely and complete; and the disclosure is in the best interest of the Government. (4) A record from the system of records may be disclosed to any source, private or public, to the extent necessary to secure from such source information relevant to a legitimate agency investigation, audit, or other inquiry. (5) A record from the system of records may be disclosed to the Department of Justice when the agency or any component thereof, or any employee of the agency in his or her official capacity, or any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee, or the United States, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice is deemed by the agency to be relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records. (6) A record from the system of records may be disclosed in a proceeding before a court or adjudicative body, when the agency, or any component thereof, or any employee of the agency in his or her official capacity, or any employee of the agency in his or her individual capacity where the agency has agreed to represent the employee, or the United States, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the agency determines that use of such records is relevant and necessary to the litigation and the use of such records is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records. (7) A record from the system of records may be disclosed to a Member of Congress from the record of an individual in response to an inquiry from the Member of Congress made at the request of that individual. (8) A record from the system of records may be disclosed to the Department of Justice and the Office of Government Ethics for the purpose of obtaining advice regarding a violation or possible

violation of statute, regulation, rule or order or professional ethical standards. (9) A record from the system of records may be disclosed to the Office of Management and Budget for the purpose of obtaining its advice regarding agency obligations under the Privacy Act, or in connection with the review of private relief legislation. (10) A record from the system of records may be disclosed in response to a subpoena issued by a Federal agency having the power to subpoena records of other Federal agencies if, after careful review, the OIG determines that the records are both relevant and necessary to the requesting agency's needs and the purpose for which the records will be used is compatible with the purpose for which the records were collected. (11) A record from the system of records may be disclosed to a private contractor for the purpose of compiling, organizing, analyzing, programming, or otherwise refining records subject to the same limitations applicable to U.S. Department of Treasury officers and employees under the Privacy Act. (12) A record from the system of records may be disclosed to a grand jury agent pursuant either to a Federal or State grand jury subpoena, or to a prosecution request that such record be released for the purpose of its introduction to a grand jury provided that the Grand Jury channels its request through the cognizant U.S. Attorney, that the U.S. Attorney has been delegated the authority to make such requests by the Attorney General, that she or he actually signs the letter specifying both the information sought and the law enforcement purpose served. In the case of a State Grand Jury subpoena, the State equivalent of the U.S. Attorney and Attorney General shall be substituted. (13) A record from the system of records may be disclosed to a Federal agency responsible for considering suspension or debarment action where such record would be relevant to such action. (14) A record from the system of records may be disclosed to an entity or person, public or private, where disclosure of the record is needed to enable the recipient of the record to take action to recover money or property of the United States Department of the Treasury, where such recovery will accrue to the benefit of the United States, or where disclosure of the record is needed to enable the recipient of the record to take appropriate disciplinary action to maintain the integrity of the programs or operations of the Department of the Treasury. (15) A record from the system of records may be disclosed to a Federal, state, local or

foreign agency, or other public authority, for use in computer matching programs to prevent and detect fraud and abuse in benefit programs administered by an agency, to support civil and criminal law enforcement activities of any agency and its components, and to collect debts and over payments owed to any agency and its components. (16) A record from the system of records may be disclosed to a public or professional licensing organization when such record indicates, either by itself or in combination with other information, a violation or potential violation of professional standards, or reflects on the moral, educational, or professional qualifications of an individual who is licensed or who is seeking to become licensed. (17) A record from the system of records may be disclosed to the Office of Management and Budget, the General Accounting Office, the President's Council on Integrity and Efficiency and other Federal agencies for mandated reports.

#### **DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Debtor information may also be furnished, in accordance with 5 U.S.C. 552a(b)(12) and 31 U.S.C. 3711(e) to consumer reporting agencies to encourage repayment of an overdue debt.

#### **POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

##### **STORAGE:**

Paper records and magnetic media.

##### **RETRIEVABILITY:**

Most files are accessed by OIG employee name, employee number, office, or cost center. Some records may be accessed by entering equipment or project information.

##### **SAFEGUARDS:**

Access is limited to OIG employees who have a need for such information in the course of their work. A central console is located in a departmental computer room which is staffed during normal business hours and locked at other times. Terminals and paper copies are maintained in offices which are staffed during normal business hours and locked at other times. Access to records on magnetic media is controlled by computer passwords. Access to specific MIS records is further limited and controlled by computer security programs limiting access to authorized personnel.

**RETENTION AND DISPOSAL:**

Records are periodically updated to reflect changes and are retained as long as necessary.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Inspector General for Resources, Suite 510, 740 15th St. NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in this system may inquire in accordance with instructions appearing in 31 CFR part 1, subpart C, appendix A. Individuals must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and type of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information). Address inquiries to Assistant Director, Disclosure Services (see "Record access Procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CONTESTING RECORDS PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Current and former employees of the OIG.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**Appendix A—Addresses of OIG Offices**

Headquarters: Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Resources, Suite 510, 740 15th Street, NW, Washington, D.C. 20220.

Field Locations: Contact System Manager for addresses.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Investigations, Office of the Regional Inspector General for Investigations, Mid-States Regional Office, Houston, TX 77057.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Investigations, Chicago Field Office, Chicago, IL 60690.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Investigations, Office of the Regional Inspector General for Investigations, Western Regional Office, El Segundo, CA 90245-4320.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector

General for Audit, FLETC Field Office, Federal Law Enforcement Training Center, Glynco, GA 31524.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Eastern Regional Office, Boston, MA 02110.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Deputy Assistant Inspector General for Audit, New York Field Office, New York, NY 10048.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Eastern Regional Office, Philadelphia Field Office, Marlton, NJ 08053.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Central Regional Office, Chicago, IL 60603.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Deputy Assistant Inspector General for Audit, Indianapolis Field Office, Indianapolis, IN 46278.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Southern Regional Office, Houston, TX 77057.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Southern Regional Office, Miami Field Office, Miami, FL 33166-7710.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, New Orleans Field Office, New Orleans, LA 70130.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Western Regional Office, El Segundo, CA 90245-4320.

Department of Treasury, Office of Inspector General, Office of the Assistant Inspector General for Audit, Office of the Regional Inspector General for Audit, Western Regional Office, San Francisco Field Office, San Francisco, CA 94105.

**TREASURY/DO .193****SYSTEM NAME:**

Employee Locator and Automated Directory System—Treasury/DO.

**SYSTEM LOCATION:**

Main Treasury Building, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Information on all employees of the Department is maintained in the system if the proper locator card is provided.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, office telephone number, bureau, office symbol, building, room number, home address and phone number, and person to be notified in case of emergency.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Disclosures are not made outside of the Department.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Hard copy and magnetic media.

**RETRIEVABILITY:**

Indexed by name and/or block code numbers.

**SAFEGUARDS:**

All records, including computer system and all terminals are located within secure space. Only authorized personnel have access.

**RETENTION AND DISPOSAL:**

Records are kept as long as needed, updated periodically and destroyed by burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Telecommunications Operations Branch, Room 1121-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

See "System manager" above.

**RECORD ACCESS PROCEDURES:**

See "System manager" above.

**CONTESTING RECORD PROCEDURES:**

See "System manager" above.

**RECORD SOURCE CATEGORIES:**

Information is provided by individual employees. Necessary changes made if requested.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .194****SYSTEM NAME:**

Circulation System—Treasury.

**SYSTEM LOCATION:**

Department of the Treasury, Library and Information Services Division, Room 5030-MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Employees who borrow library materials or receive library materials on distribution. The system also contains records concerning interlibrary loans to local libraries which are not subject to the Privacy Act.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records of items borrowed from the Treasury Library collection and patron records are maintained on central computer. Records are maintained by name of borrower, office locator information, and title of publication.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**  
5 U.S.C. 301.

**PURPOSES(s):**

Track circulation of library materials and their borrowers.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to disclose information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Electronic media.

**RETRIEVABILITY:**

Data can be retrieved from the system by borrower name or bar code number and publication title or its associated bar code number.

**SAFEGUARDS:**

Access to the system requires knowledge of password identification codes and protocols for calling up the data files. Access to the records is limited to staff of the Readers Services Branch who have a need-to-know the information for the performance of their duties.

**RETENTION AND DISPOSAL:**

Only current data are maintained on-line. Records for borrowers are deleted when employee leaves Treasury.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director, Library and Information Services, Department of the Treasury, Room 5030-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Inquiries should be addressed to Assistant Director, Disclosure Services,

Department of the Treasury, Room 1054-MT, 1500 Pennsylvania Ave., NW, Washington DC 20220.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Patron information records are completed by borrowers and library staff.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .196****SYSTEM NAME:**

Security Information System—Treasury/DO.

**SYSTEM LOCATION:**

Components of this system are located in the following offices within the Departmental Offices: Office of Security, Room 3210 Treasury Annex, 1500 Pennsylvania Avenue, NW, Washington, DC 20220, and Assistant Director, Security, Safety and Parking, Administrative Operations Division, Room 1212 MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Department of the Treasury officials who classify documents with a national security classification, i.e., Top Secret, Secret, or Confidential. (2) Each Department of the Treasury official, by name and position title, who has been delegated the authority to downgrade and declassify national security information and who is not otherwise authorized to classify a document at its present classification level. (3) Each Department of the Treasury official, by name and position title, who has been delegated the authority for original classification of national security information, exclusive of officials specifically authorized original classification authority by Treasury Order 102-10. (4) Each Department of the Treasury office by name and position title delegated the authority to derivatively classify national security information in accordance with an approved classification guide or on the basis of source documents. (5) Each Department of the Treasury official who does not have original classification authority for national security information and who is not authorized to downgrade and declassify national security information, but who may control and/or decontrol limited official use information. (6) An alphabetical

listing of Department of the Treasury employees who have valid security violations as a result of the improper handling, safeguarding, or storage of classified national security and limited official use information. (7) Department of the Treasury personnel concerned with classified national security and limited official use information who have participated in a security orientation program regarding the salient features of the security requirements and procedures for the handling and safeguarding of such information.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The following records are maintained by the Director of Security: (1) Report of Authorized Downgrading and Declassification Officials, (2) Report of Authorized Classifiers, (3) Report of Authorized Derivative Classifiers, (4) Designation of Controlling/Decontrolling Officials, and (5) Record of Security Violation. The Assistant Director, Security, Safety and Parking maintains the following records: The Security Orientation Acknowledgment.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Executive Order No. 12958, dated April 17, 1995, and Office of Security Manual, TDP 71-10.

**PURPOSE(s):**

The system is designed to (1) oversee compliance with Executive Order No. 12958 and Departmental programming and implementation, (2) ensure proper classification of national security information, (3) record details of valid security violations and (4) assist in determining the effectiveness of information security programs affecting classified and limited official use information.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:**

These records and information in these records may be used to disclose information to appropriate Federal agencies and for enforcing or implementing a statute, rule, regulation or order.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Hard Copy paper files.

**RETRIEVABILITY:**

Manually filed and indexed by office or bureau, date, name of official and position title, where appropriate.

**SAFEGUARDS:**

Secured in security equipment to which access is limited to personnel with the need to know.

**RETENTION AND DISPOSAL:**

With the exception of the Record of Security Violation, which is maintained for a period of two years, and the Security Orientation Acknowledgment, the remaining records are destroyed and/or updated on an annual basis. Destruction is effected by shredding or other comparable means.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director of Security, 3210 Treasury Annex, 1500 Pennsylvania Avenue NW, Washington, DC 20220, and Assistant Director, Security, Safety and Parking, Administrative Operations Division, Room 1212 MT, 1500 Pennsylvania Avenue., NW, Washington, DC 20220

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or to gain access to records maintained in this system, must submit a written request containing the following elements: (1) Identify the record system; (2) identify the category and types of records sought; and (3) provide at least two items of secondary identification (date of birth, employee identification number, dates of employment or similar information) to the Assistant Director, Disclosure Services. (See "Record access procedures" below).

**RECORD ACCESS PROCEDURES:**

Assistant Director, Disclosure Services, Department of the Treasury, Room 1054 MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

The sources of the information are office and bureau employees of the Department of the Treasury. The information concerning any security violation is reported by Department of the Treasury security officials and Department of State security officials as concerns Treasury personnel attached to U.S. diplomatic posts or missions.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .200****SYSTEM NAME:**

FinCEN Data Base—Treasury/DO.

**SYSTEM LOCATION:**

The Financial Crimes Enforcement Network, 2070 Chain Bridge Road, Vienna, VA 22182.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Individuals who relate in any manner to official FinCEN efforts in support of the enforcement of the Bank Secrecy Act and money-laundering and other financial crimes. Such individuals may include, but are not limited to, subjects of investigations and prosecutions; suspects in investigations; victims of such crimes; witnesses in such investigations and prosecutions; and close relatives and associates of any of these individuals who may be relevant to an investigation; (2) Current and former FinCEN personnel whom FinCEN considers relevant to an investigation or inquiry; (3) individuals who are the subject of unsolicited information possibly relevant to violations of law or regulations, who offer unsolicited information relating to such violations, who request assistance from FinCEN, and who make inquiries of FinCEN.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Every possible type of information that contributes to effective law enforcement may be maintained in this system of records, including, but not limited to, subject files on individuals, corporations, and other legal entities; information provided pursuant to the Bank Secrecy Act; information gathered pursuant to search warrants; statements of witnesses; information relating to past queries of the FinCEN Data Base; criminal referral information; complaint information; identifying information regarding witnesses, relatives, and associates; investigative reports; and intelligence reports.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, 31 U.S.C. 5311 *et seq.*; 31 CFR part 103; Treasury Department Order No. 105-08 (April 25, 1990).

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Records in this system may be used to: (1) Provide responses to queries from Federal, State, territorial, and local law enforcement and regulatory agencies, both foreign and domestic, regarding Bank Secrecy Act and other financial crime enforcement; (2) furnish information to other Federal, State, local, territorial, and foreign law enforcement and regulatory agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute,

rule, regulation, order, or license, where FinCEN becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (3) furnish information to the Department of Defense, to support its role in the detection and monitoring of aerial and maritime transit of illegal drugs into the United States and any other role in support of law enforcement that the law may mandate; (4) respond to queries from INTERPOL in accordance with agreed coordination procedures between FinCEN and INTERPOL; (5) furnish information to individuals and organizations, in the course of enforcement efforts, to the extent necessary to elicit information pertinent to financial law enforcement; (6) furnish information to a court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation or settlement negotiations, in response to a subpoena, or in connection with civil or criminal law proceedings; (7) furnish information to the news media in accordance with the guidelines contained in 28 CFR 50.2, which relate to civil and criminal proceedings; and (8) furnish information to the Department of State and the Intelligence community to further those agencies' efforts with respect to national security and the foreign aspects of international narcotics trafficking.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Magnetic media and hard copy.

**RETRIEVABILITY:**

By name, address, or unique identifying number.

**SAFEGUARDS:**

All FinCEN personnel accessing the system will have successfully passed a background investigation. FinCEN will furnish information from the system of records to approved personnel only on a "need to know" basis using passwords and access control. Procedural and physical safeguards to be utilized include the logging of all queries and periodic review of such query logs; compartmentalization of information to restrict access to authorized personnel; physical protection of sensitive hard copy information; encryption of electronic communications; intruder alarms; and 24-hour building guards.

**RETENTION AND DISPOSAL:**

FinCEN personnel will review records each time a record is retrieved and on

a periodic basis to see whether it should be retained or modified. FinCEN will dispose of all records after six years and will never retain any record for more than seven years. Records will be disposed of by erasure of magnetic media and by shredding and/or burning of hard copy documents.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Financial Crimes Enforcement Network, 2070 Chain Bridge Road, Vienna, VA 22182.

**NOTIFICATION PROCEDURE:**

Pursuant to 5 U.S.C. 552a(j)(2), (k)(1), and (k)(2), this system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

See "Categories of individuals covered by the system" above. The system contains material for which sources need not be reported.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552a(c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (e)(1), (e)(2), (e)(3), (e)(4)(G), (H), and (I), (e)(5), (e)(8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2), (k)(1) and (k)(2).

**TREASURY/DO .201**

**SYSTEM NAME:**

Fitness Center Records—Treasury/DO.

**SYSTEM LOCATION:**

Department of the Treasury, 1500 Pennsylvania Avenue, NW, Washington, DC 22020.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Treasury Department employees who have applied for membership and participate in the Treasury fitness program.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, job title, addresses, date of birth, age, sex; name, address, and telephone number of personal physician; name, and address and telephone number of emergency contact; health and exercise history; physician's clearance; informed consent form, waiver and release form, program

interest survey form; fitness assessment results; and results of health tests taken by the Fitness Center members.

**AUTHORITY FOR THE MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

The records are collected and maintained to provide the Fitness Center contractor with written documentation of user's membership status. The records enable the contractor to identify the current fitness level and potential health risks faced by each user. The collection of these records provides essential baseline information allowing the contractor to prescribe the appropriate exercise program to each user.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

No disclosures will be made outside the Departmental Offices.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Paper records and magnetic media.

**RETRIEVABILITY:**

By name and membership number.

**SAFEGUARDS:**

Records are stored in locked cabinets in a locked room. Access is limited to authorized employees of the contractor responsible for servicing the records in the performance of their duties.

**RETENTION AND DISPOSAL:**

Active records are retained indefinitely. Inactive records are held for three years, then are destroyed by shredding.

**SYSTEM MANAGER AND ADDRESS:**

Director, Administrative Operations, Department of the Treasury, Room 1212-MT, 1500 Pennsylvania Ave., NW, Washington, DC 20220. Name of the contractor will be provided by the system manager upon request.

**NOTIFICATION PROCEDURE:**

Individuals seeking access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR part 1, subpart C, appendix A. Inquiries should be addressed to Assistant Director, Disclosure Services, Departmental Offices, Room 1054-MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**RECORD ACCESS PROCEDURES:**

Inquiries should be addressed to the Assistant Director, Disclosure Services, Departmental Offices, Room 1054-MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedures" above.

**RECORD SOURCE CATEGORIES:**

The source of the data is the Treasury Department employee who has applied for membership, contractor personnel and the employee's personal physician.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .202**

**SYSTEM NAME:**

Drug-Free Workplace Program Records—Treasury/DO.

**SYSTEM LOCATION:**

Records are located within Personnel Resources, Workforce Effectiveness, Room 1450-MT, Department of the Treasury, Departmental Offices, 1500 Pennsylvania Ave., NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Employees of Departmental Offices.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records related to selection, notification, testing of employees, drug test results, and related documentation concerning the administration of the Drug-Free Workplace Program within Departmental Offices.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Pub. L. 100-71; 5 U.S.C. 7301 and 7361; 21 U.S.C. 812; Executive Order 12564, "Drug-Free Federal Workplace".

**PURPOSE(S):**

The system will be established to maintain records relating to the selection, notification, and testing of Departmental Offices' employees for use of illegal drugs and drugs identified in Schedules I and II of 21 U.S.C. 812.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:**

These records and information in these records may be disclosed to a court of competent jurisdiction where required by the United States Government to defend against any challenge against any adverse personnel action.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Records consist of paper records maintained in file folders and magnetic media.

**RETRIEVABILITY:**

Records are retrieved by name of employee, position, title, social security number, I.D. number (if assigned), or any combination of these.

**SAFEGUARDS:**

Records will be stored in secure containers, e.g., safes, locked filing cabinets, etc. Access to such records is restricted to individuals having direct responsibility for the administration of the agency's Drug-Free Workplace Program. Procedural and documentary requirements of Pub. L. 100-71 and the Department of Health and Human Services Guidelines will be followed.

**RETENTION AND DISPOSAL:**

Records are retained for two years and then destroyed by shredding, burning, or, in case of magnetic media, erasure. Written records and test results may be retained up to five years or longer when necessary due to challenges or appeals of adverse action by the employee.

**SYSTEM MANAGER AND ADDRESS:**

Departmental Offices, Office of Personnel Resources, Department of the Treasury, 1500 Pennsylvania Ave., Room 1450-MT, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the attention of the Assistant Director, Disclosure Services, Departmental Offices, 1500 Pennsylvania Ave., Room 1054-MT, Washington, DC 20220. Individuals must furnish their full name, Social Security Number, the title, series, and grade of the position they occupied, the month and year of any drug test(s) taken, and verification of identity as required by 31 CFR part 1, subpart C, appendix A.

**RECORD ACCESS PROCEDURES:**

Individuals seeking to determine whether this system of records contains information about themselves should address written inquiries to the attention of the Assistant Director, Disclosure Services, Departmental Offices, 1500 Pennsylvania Ave., Room 1054-MT, Washington, DC 20220. Individuals must furnish their full name, Social Security Number, the title, series, and grade of the position they

occupied, the month and year of any drug test(s) taken, and verification of identity as required by 31 CFR part 1, subpart C, appendix A.

**CONTESTING RECORD PROCEDURES:**

The Department of the Treasury rules for accessing records, for contesting contents, and appealing initial determinations by the individual concerned are published in 31 CFR part 1, subpart A, appendix A.

**RECORD SOURCE CATEGORIES:**

Records are obtained from the individual to whom the record pertains; Departmental Offices employees involved in the selection and notification of individuals to be tested; contractor laboratories that test urine samples for the presence of illegal drugs; Medical Review Officers; supervisors and managers and other Departmental Offices official engaged in administering the Drug-Free Workplace Program; the Employee Assistance Program, and processing adverse actions based on drug test results.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .203****SYSTEM NAME:**

Public Transportation Incentive Program Records—Treasury/DO.

**SYSTEM LOCATION:**

- (1) Departmental Offices, Department of the Treasury, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.
- (2) Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.
- (3) United States Mint, Judiciary Square Building, 633 Third Street, NW, Washington, DC 20220; United States Mint, 151 North Independence Mall East, Philadelphia, PA 19106; United States Mint, 320 West Colfax Avenue, Denver, CO 80204; United States Mint, 901 Market Street, Suite 470, San Francisco, CA 94103.
- (4) Bureau of the Public Debt, 13th and C Streets, SW., and 999 E Street NW., Washington, DC 20239; 200 Third Street, Parkersburg, WV 26106.
- (5) Office of Inspector General, Office of Assistant Inspector for Resources, Office of Administrative Services, Suite 510, 740 15th, NW., Washington, DC 20220; Office of Inspector General, Field Office Manager (Audit), #6 World Trade Center, Room 745, New York, NY 10048; Office of Inspector General, Assistant Inspector General for Investigations, Chicago Field Office, Suite 520, 55 West Monroe Street, Chicago, IL 60603; Office of Inspector

General, Regional Inspector General for Audit, Eastern Regional Office, Room 330, 408 Atlantic Avenue, Boston, MA 02110; Office of Inspector General, Regional Inspector General for Audit, Central Region, Suite 510, 55 West Monroe Street, Chicago, IL 60603; Office of Inspector General, Regional Inspector General for Audit, Western Region, Room 275, 333 Market Street, San Francisco, CA 94105.

(6) Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Ave., NW, Washington, DC 20226.

(7) Financial Management Service, 3700 East West Hwy., Hyattsville, MD 20782.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Employees who have applied to participate in the Public Transportation Incentive Program.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Public Transportation Incentive Program application form containing the participant's name, social security number, place of residence, office address, office telephone, grade level, duty hours, previous method of transportation, and the type of fare incentive requested. (2) Reports submitted to the Department of the Treasury in accordance with Treasury Directive 74-10.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301 and Pub. L. 101-509.

**PURPOSE(S):**

The records are collected and maintained to provide written documentation pertaining to applicants and participants in the Public Transportation Incentive Program.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to disclose information to: (1) Appropriate Federal, state, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order or license; (2) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a court-ordered subpoena, or in connection with criminal law proceedings; (3) a congressional office in response to an inquiry made at the request of the individual to whom the

record pertains; (4) unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (5) agencies, contractors, and others to administer Federal personnel and payroll systems, and for debt collection and employment or security investigations; and (6) other Federal agencies for matching to ensure that employees receiving PTI Program benefits are not listed as a carpool or vanpool participant or the holder of a parking permit.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Paper records, file folders and magnetic media.

**RETRIEVABILITY:**

Alphabetically by individual and by office.

**SAFEGUARDS:**

Access is limited to authorized employees. Files are maintained in locked safes and/or file cabinets. Records on magnetic media are password-protected. During non-work hours, records are stored in locked safes and/or cabinets in a locked room.

**RETENTION AND DISPOSAL:**

Active records are retained indefinitely. Inactive records are held for three years and then destroyed.

**SYSTEM MANAGER(S) AND ADDRESS:**

(1) Departmental Offices: Director, Administrative Operations Division, Department of the Treasury, Room 1212 MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

(2) Bureau of Engraving and Printing: Chief, Office of Management Services, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

(3) United States Mint: Executive Secretariat, United States Mint, Judiciary Square Building, 633 Third Street, NW, Washington, DC 20220; Property Management Officer, Management Analysis and Property Management Staff, United States Mint, 151 North Independence Mall East, Philadelphia, PA 19106; Chief, Administrative Services Division, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Human Resources Division and Budget and Accounting Division, United States Mint, 901 Market Street, Suite 470, San Francisco, CA 94103.

(4) Bureau of the Public Debt: Assistant Commissioner, Office of

Administration, 200 Third Street, Parkersburg, WV 26106.

(5) Office of Inspector General: Office of Assistant Inspector for Resources, Office of Administrative Services, Suite 510, 740 15th St. NW., Washington, DC 20220.

(6) Bureau of Alcohol, Tobacco and Firearms: Chief, Protection Program, 650 Massachusetts Ave., NW, Washington, DC 20226.

(7) Financial Management Service: Director, Facilities Management Division, Financial Management Service, 3700 East West Hwy., Room 144, Hyattsville, MD 20782.

**NOTIFICATION PROCEDURE:**

Individuals seeking access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions given in the Appendix for each Treasury component appearing at 31 CFR part 1, subpart C. Inquiries should be sent to the agency official identified below:

(1) Departmental Offices: Inquiries should be addressed to Assistant Director, Disclosure Services, Departmental Offices, Room 1054 MT, 1500 Pennsylvania Avenue, NW, Washington, DC 20220.

(2) Bureau of Engraving and Printing: Inquiries should be addressed to Disclosure Officer, Bureau of Engraving and Printing, 14th and C Streets, SW, Washington, DC 20228.

(3) United States Mint: Inquiries should be addressed to Executive Secretariat, United States Mint, Judiciary Square Building, 633 Third Street, NW, Washington, DC 20220; Property Management Officer, Management Analysis and Property Management Staff, United States Mint, 5th and Arch Streets, Philadelphia, PA 19106; Chief, Administrative Services Division, United States Mint, 320 West Colfax Avenue, Denver, CO 80204; Human Resources Division and Budget and Accounting Division, United States Mint, Old Mint Building, 88 Fifth Street, San Francisco, CA 94103.

(4) Bureau of the Public Debt: Assistant Commissioner, Office of Administration, 200 Third Street, Parkersburg, WV 26106.

(5) Office of Inspector General: Inquiries should be addressed to: Assistant Director, Disclosure Services, Departmental Offices, Room 1054 MT, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

(6) Bureau of Alcohol, Tobacco and Firearms: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

(7) Financial Management Service: Inquiries should be addressed to Disclosure Officer, Financial Management Service, 401 14th St. SW., Washington, DC 20227.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The source of the data are employees who have applied for the transportation incentive, the system managers, and appropriate agency officials.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .206**

**SYSTEM NAME:**

Office Tracking System (OTS)—Treasury/DO.

**SYSTEM LOCATION:**

Office of Administration, Automated Systems Division, 15th and Pennsylvania Avenue, NW, Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Departmental offices employees granted access to the OTS and individuals who correspond with the Departmental Offices.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Each piece of correspondence will have a record generated in OTS containing the name of the addresser, addressee, initials of the approving individual and the name of the individual assigned to respond or take action. This correspondence consists of letters to or from the public, Congress or other agencies, and internal memoranda.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301.

**PURPOSE(S):**

The primary purpose of the system is to provide a facility to track the status of incoming and internally generated correspondence within an office. It provides management information related to action(s) required and the responsible individual.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Disclosures are not made outside Departmental Offices.



**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Magnetic media.

**RETRIEVABILITY:**

The records may be retrieved by name of writer, name of addresses, or subject of document.

**SAFEGUARDS:**

Access is limited by a computer sign-on procedure which includes access identification and a password protection as well as individual file protection features.

**RETENTION AND DISPOSAL:**

The records are retained at the discretion of the OTS user who may electronically delete or file the records. All records are saved to a backup magnetic media at least once a month. These media are retained for two years.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Automated Systems Development Branch, Automated Systems Division, Room SC-1, 15th and Pennsylvania Avenue, NW, Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Individuals seeking access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions appearing at 31 CFR part 1, subpart C, appendix A. Inquiries should be addressed to Assistant Director, Disclosure Services, Departmental Offices, 15th and Pennsylvania Avenue, NW, Washington, DC 20220.

**RECORD ACCESS PROCEDURES:**

Inquiries should be addressed to the Assistant Director, Disclosure Services, Departmental Offices, 15th and Pennsylvania Avenue, NW, Washington, DC 20220.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The source of data in OTS is letters or memoranda from Treasury officials, other agencies, members of Congress, the public or the press.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .207****SYSTEM NAME:**

Waco Administrative Review Group Investigation—Treasury/DO.

**SYSTEM LOCATION:**

Department of the Treasury, Office of Enforcement, 1500 Pennsylvania Ave., NW Washington, DC 20220.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(A) Current and former employees of the Department of the Treasury and its bureaus and persons whose associations with current and former employees relate to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas on February 28, 1993, or any other criminal or civil misconduct, which affects the integrity or facilities of the Department of the Treasury. The names of individuals and the files in their names may be: (1) Received by referral; or (2) developed in the course of the investigation. (B) Individuals who are: Witnesses; complainants; confidential or non-confidential informants; suspects; defendants who have been identified by the Office of Enforcement, constituent units of the Department of the Treasury, other agencies, or members of the general public in connection with the authorized functions of the Office of Enforcement. (C) Members of the general public who provide information pertinent to the investigation.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(A) Letters, memoranda, and other documents citing complaints of alleged criminal misconduct pertinent to the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993. (B) Investigative files which include: (1) Reports of investigations to resolve allegations of misconduct or violations of law and to comply with the President's specific directive for a fact finding report on the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993, with related exhibits, statements, affidavits, records or other pertinent documents obtained during investigation; (2) transcripts and documentation concerning requests and approval for consensual telephone and consensual nontelephone monitoring; (3) reports from or to other law enforcement bodies; (4) prior criminal or noncriminal records of individuals as they relate to the investigations; and (5) reports of actions taken by management personnel regarding misconduct and reports of legal actions resulting from violations of statutes referred to the

Department of Justice for prosecution; (6) videotapes of events pertinent to the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993, or to the Department of Justice criminal prosecutions; (7) audiotapes with transcripts of events pertinent to the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993, or to the Department of Justice criminal prosecutions; (8) photographs and blueprints pertinent to the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993, or to the Department of Justice criminal prosecutions; and (9) drawings, sketches, models portraying events pertinent to the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993, or to the Department of Justice criminal prosecutions.

**PURPOSE(S):**

The purpose of the system of records is to implement a data base containing records of investigation conducted by the Waco Administrative Review Group, and other relevant information with regard to the events leading to the Bureau of Alcohol, Tobacco & Firearms execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993, and, where appropriate, to disclose to other law enforcement agencies which have an interest in the information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301; 31 U.S.C. 321.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to the Department of Justice in connection with actual or potential criminal prosecution or civil litigation; (2) disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license, or where the disclosing agency becomes aware of an indication of a violation or

potential violation of civil or criminal law or regulation; (3) disclose information to a Federal, State, or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's hiring or retention of an employee, or the issuance of a security clearance, license, contract, grant, or other benefit; (4) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations in response to a subpoena, where relevant and necessary, or in connection with criminal law proceedings; (5) provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; and (6) provide a report to the President and the Secretary of the Treasury detailing the investigation and findings concerning the events leading to the Bureau of Alcohol, Tobacco & Firearms' execution of search and arrest warrants at the Branch Davidian compound, near Waco, Texas, on February 28, 1993.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Paper records in binders and file jackets and all multi-source media information are maintained in locked offices with access, through the administrative documents and records control personnel for the Waco Administrative Review Group, available to personnel with a need to know. Records will be maintained in locked offices during non-business hours. Records will be maintained in the Departmental Offices, in the main Treasury building which is subject to 24-hour security.

**RETRIEVABILITY:**

Alphabetically by name, and or by number, or other alpha-numeric identifiers.

**SAFEGUARDS:**

Records and word processing disks are maintained by administrative documents and records control personnel of the Waco Administrative Review Group. All access doors are locked when office is vacant. The records are available on a need-to-know basis to the Waco Administrative Review Group and Office of Enforcement personnel and other

Federal and state law enforcement personnel who have an appropriate security clearance.

**RETENTION AND DISPOSAL:**

Investigative files are stored on-site for six years and indices to those files are stored on-site for ten years. The word processing disks will be retained indefinitely, and to the extent required they will be updated periodically to reflect changes and will be purged when the information is no longer required. Upon expiration of their respective retention periods, the investigative files and their indices are transferred to the Federal Records Center, Suitland, Maryland, for storage and in most instances destroyed by burning, maceration or pulping when 20 years old.

**SYSTEM MANAGER(S) AND ADDRESS:**

Office of Enforcement, Room 4312-MT, 1500 Pennsylvania Ave., NW., Washington, DC 20220.

**NOTIFICATION PROCEDURE:**

Pursuant to 5 U.S.C. 552a(j)(2) and (k)(2), this system of records may not be accessed for purposes of determining if the system contains a record pertaining to a particular individual.

**RECORD ACCESS PROCEDURES:**

See "Notification Procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedure" above.

**RECORD SOURCE CATEGORIES:**

See "Categories of Individuals" above. This system contains investigatory material for which sources need not be reported.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .209**

**SYSTEM NAME:**

Personal Services Contracts (PCSS)—Treasury/DO.

**SYSTEM LOCATION:**

(1) Office of Technical Assistance, Department of the Treasury, 1730 K Street, NW., Suite 204, Washington, DC 20006. (2) Procurement Services Division, Departmental Offices, Department of the Treasury, 1310 G St., NW., Suite 400 East, Washington, DC 20005.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who have been candidates or who have been awarded a personal services contract (PSC) with the Department of the Treasury.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Name, address, telephone number, demographic data, education, contracts, supervisory notes, personnel related information, financial, payroll and medical data and documents pertaining to the individual contractors.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Support for Eastern European Democracy (SEED) Act of 1989 (Pub. L. 101-179), Freedom Support Act (Pub. L. 102-511), Executive Order 12703.

**PURPOSE(S):**

To maintain records pertaining to the awarding of personal services contracts to individuals for the provision of technical services in support of the SEED Act and the FSA, and which establish an employer/employee relationship with the individual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in these records may be used to disclose: (1) Pertinent information to appropriate Federal, State, local, or foreign agencies, or other public authority, responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) information to the Department of Justice for the purpose of litigating an action or seeking legal advice; (3) information to a Federal, State, local, or other public authority maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's, bureau's, or authority's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (4) information in a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear when: (a) The agency, or (b) any employee of the agency in his or her official capacity, or (c) any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or (d) the United States, when the agency determines that litigation is likely to affect the agency, is party to litigation or has an interest in such litigation, and the use of such records by the agency is deemed to be relevant and necessary to the litigation or administrative proceeding and not otherwise privileged, and (5) information to a

Congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Maintained in file folders and on electronic media.

**RETRIEVABILITY:**

Retrieved by name of the individual contractor and contract number.

**SAFEGUARDS:**

Records are maintained in a secured vault with locked file cabinets with access limited to authorized personnel. Offices are locked during non-working hours with security provided on a 24-hour basis. Electronic media is password protected.

**RETENTION AND DISPOSAL:**

Records are periodically updated when a contract is modified. Contract records, including all biographical or other personal data, are retained for the contract period, with disposal after contract completion in accordance with the Federal Acquisition Regulation 4.805. Other records are retained for two years then are destroyed when no longer needed.

**SYSTEM MANAGER(S) AND ADDRESS:**

(1) Director, Office of Technical Assistance, Department of the Treasury, 1730 K Street, NW., Suite 204, Washington, DC 20006.

(2) Director, Procurement Services Division, Departmental Offices, Department of the Treasury, 1310 G St., NW., Suite 400 East, Washington, DC 20005.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system of records, or to gain access or seek to contest its contents, may inquire in accordance with instructions appearing at 31 CFR part 1, subpart C, appendix A. Inquiries should be addressed to Assistant Director, Disclosure Services, Departmental Offices, Room 1054-MT, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedures" above.

**RECORD SOURCE CATEGORIES:**

Information is provided by the candidate, individual Personal Services Contractor, and Treasury employees.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/DO .210**

**SYSTEM NAME:**

Treasury Integrated Financial Management and Revenue System—Treasury/DO.

**SYSTEM LOCATION:**

Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220. Other locations at which the system is maintained by Treasury components and their associated field offices are:

- (a)(1) Departmental Offices (DO);
- (2) Financial Crimes Enforcement Network (FinCEN);
- (3) Office of Inspector General (OIG);
- (b) Bureau of Alcohol, Tobacco and Firearms (ATF);
- (c) Office of the Comptroller of the Currency (CC);
- (d) United States Customs Service (CS);
- (e) Bureau of Engraving and Printing (BEP);
- (f) Federal Law Enforcement Training Center (FLETC);
- (g) Financial Management Service (FMS);
- (h) Internal Revenue Service (IRS);
- (i) United States Mint (MINT);
- (j) Bureau of the Public Debt (BPD);
- (k) United States Secret Service (USSS);
- (l) Office of Thrift Supervision (OTS).

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Current and former Treasury employees, non-Treasury personnel on detail to the Department, current and former vendors, all debtors including employees or former employees; (2) persons paying for goods or services, returning overpayment or otherwise delivering cash; (3) individuals, private institutions and business entities who are currently doing business with, or who have previously conducted business with the Department of the Treasury to provide various goods and services; (4) individuals who are now or were previously involved in tort claims with Treasury; (5) individuals who are now or have previously been involved in payments (accounts receivable/revenue) with Treasury; and (6) individuals who have been recipients of awards. Only records reflecting personal information are subject to the Privacy Act. The system also contains records concerning corporations, other business entities, and organizations whose records are not subject to the Privacy Act.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

The financial systems used by the Treasury components to collect, maintain and disseminate information include the following types of records: Routine billing, payment, property accountability, and travel information used in accounting and financial processing; administrative claims by employees for lost or damaged property; administrative accounting documents, such as relocation documents, purchase orders, vendor invoices, checks, reimbursement documents, transaction amounts, goods and services descriptions, returned overpayments, or otherwise delivering cash, reasons for payment and debt, travel-related documents, training records, uniform allowances, payroll information, student intern documents, etc., which reflect amount owed by or to an individual for payments to or receipt from business firms, private citizens and or institutions. Typically, these documents include the individual's name, social security number, address, and taxpayer identification number. Records in the system also include employment data, payroll data, position and pay data.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

31 U.S.C. 3512, 31 U.S.C. 3711, 31 U.S.C. 3721, 5 U.S.C. 5701 *et seq.*, 5 U.S.C. 4111(b), Pub. L. 97-365, 26 U.S.C. 6103(m)(2), 5 U.S.C. 5514, 31 U.S.C. 3716, 31 U.S.C. 321, 5 U.S.C. 301, 5 U.S.C. 4101 *et seq.*, 41 CFR parts 301-304, EO 11348, and Treasury Order 140-01.

**PURPOSE(S):**

The Treasury Integrated Financial Management and Revenue System is to account for and control appropriated resources; maintain accounting and financial information associated with the normal operations of government organizations such as billing and follow-up, for paying creditors, to account for goods and services provided and received, to account for monies paid and received, process travel authorizations and claims, process training claims, and process employee claims for lost or damaged property. The records management and statistical analysis subsystems provide a data source for the production of reports, statistical surveys, documentation and studies required for integrated internal management reporting of costs associated with the Department's operation.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to disclose

information: (1) To appropriate Federal, State, local, or foreign agencies, or other public authority responsible for investigating or prosecuting the violations of or for enforcing or implementing a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) To the Department of Justice when seeking legal advice, or when (a) the agency or (b) any component thereof, or (c) any employee of the agency in his or her official capacity, or (d) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee, or (e) the United States, where the agency determines that litigation is likely to affect the agency or any of its components, is a party to litigation or has an interest in such litigation, and the use of such records by the Department of Justice is deemed by the agency to be relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records; (3) To a Federal, State, local, or other public authority maintaining civil, criminal or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's, bureau's, or authority's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (4) In a proceeding before a court, adjudicative body, or other administrative body before which the agency is authorized to appear when: (a) The agency, or (b) or any component thereof, or (c) any employee of the agency in his or her official capacity, or (d) any employee of the agency in his or her individual capacity where the Department of Justice or the agency has agreed to represent the employee; or (e) the United States, when the agency determines that litigation is likely to affect the agency, is a party to litigation or has an interest in such litigation, and the use of such records by the agency is deemed to be relevant and necessary to the litigation or administrative proceeding and not otherwise privileged; (5) To a Congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) To the news media in accordance with guidelines contained in 28 CFR 50.2 which pertain to an

agency's functions relating to civil and criminal proceedings; (7) To third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (8) To a public or professional licensing organization when such information indicates, either by itself or in combination with other information, a violation or potential violation of professional standards, or reflects on the moral, educational, or professional qualifications of an individual who is licensed or who is seeking to become licensed; (9) To a contractor for the purpose of compiling, organizing, analyzing, programming, processing, or otherwise refining records subject to the same limitations applicable to U.S. Department of the Treasury officers and employees under the Privacy Act; (10) To a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations or in connection with criminal law proceedings or in response to a subpoena; (11) Through a computer matching program, information on individuals owing debts to the Department of the Treasury, or any of its components, to other Federal agencies for the purpose of determining whether the debtor is a Federal employee or retiree receiving payments which may be used to collect the debt through administrative or salary offset; (12) To other federal agencies to effect salary or administrative offset for the purpose of collecting debts, except that addresses obtained from the IRS shall not be disclosed to other agencies; (13) To disclose information to a consumer reporting agency, including mailing addresses obtained from the Internal Revenue Service, to obtain credit reports; (14) To a debt collection agency, including mailing addresses obtained from the Internal Revenue Service, for debt collection services; (15) To unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114, the Merit Systems Protection Board, arbitrators, the Federal Labor Relations Authority, and other parties responsible for the administration of the Federal labor-management program for the purpose of processing any corrective actions, or grievances, or conducting administrative hearings or appeals, or if needed in the performance of other authorized duties; (16) To a public or professional auditing organization for the purpose of conducting financial audit and/or compliance audits; (17) To

a student participating in a Treasury student volunteer program, where such disclosure is necessary to support program functions of Treasury, and (18) To insurance companies or other appropriate third parties, including common carriers and warehousemen, in the course of settling an employee's claim for lost or damaged property filed with the Department.

#### DISCLOSURE TO CONSUMER REPORTING AGENCIES:

*Disclosures made pursuant to 5 U.S.C. 552a(b)(12):* Debt information concerning a government claim against an individual may be furnished in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365) to consumer reporting agencies to encourage repayment of an overdue debt.

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Paper, microform and electronic media.

##### RETRIEVABILITY:

Name, social security number, vendor ID number, and document number (travel form, training form, purchase order, check, invoice, etc.).

##### SAFEGUARDS:

Protection and control of sensitive but unclassified (SBU) records in this system is in accordance with TD P 71-10, Department of the Treasury Security Manual, and any supplemental guidance issued by individual components.

##### RETENTION AND DISPOSAL:

Record maintenance and disposal is in accordance with National Archives and Records Administration retention schedules, and any supplemental guidance issued by individual components.

##### SYSTEM MANAGER(S) AND ADDRESS:

Departmental Offices: Director, Financial Management Division 1500 Pennsylvania Avenue, NW., Room 4101-Annex, Washington, DC 20220.

Chief Financial Officer, FinCEN, 2070 Chain Bridge Road, Vienna, VA 22182.

Assistant Inspector General for Resources, Suite 510, 740 15th St. NW., Washington, DC 20220.

ATF: Chief, Financial Management Division, Bureau of Alcohol, Tobacco & Firearms, 650 Massachusetts Avenue, NW., Room 4270 Washington, DC 20226.

IRS: Chief Financial Officer, Internal Revenue Service, 1111 Constitution

Avenue, NW., Room 3013, Washington, DC 20224.

BPD: Director, Division of Financial Management, Bureau of Public Debt, 200 Third Street, PO Box 1328, Parkersburg, WV 26106-1328.

CS: Chief Financial Officer, U.S. Customs Service, 1300 Pennsylvania Avenue, NW., Room 4.5-D, Washington, DC 20229.

FLETC: Comptroller, Budget and Finance Division, Federal Law Enforcement Training Center, Glynco Facility, Bldg. 94, Glynco, GA 31524.

CC: Chief Financial Officer, Comptroller of the Currency, 250 E Street, SW., Washington, DC 20219.

BEP: Chief Financial Officer, Bureau of Engraving and Printing 14th & C Streets, NW., Room 113M, Washington, DC 20228.

FMS: Chief Financial Officer, Financial Management Service 3700 East West Highway, Room 106A, Hyattsville, MD 20782.

Mint: Chief Financial Officer, U.S. Mint, 633 3rd Street, NW., Room 625, Washington, DC 20220.

USSS: Chief, Financial Management Division, U.S. Secret Service, 1800 G Street, NW., Room 748, Washington, DC 20226.

OTS: Director, Planning, Budget and Finance Division, Office of Thrift Supervision, 1700 G Street, NW., Third Floor, Washington, DC 20552.

#### NOTIFICATION PROCEDURE:

Individuals seeking notification and access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions pertaining to individual Treasury components appearing at 31 CFR part 1, subpart C, appendices A-L.

#### RECORD ACCESS PROCEDURES:

See "Notification procedure" above.

#### CONTESTING RECORD PROCEDURES:

See "Notification procedure" above.

#### RECORD SOURCE CATEGORIES:

Individuals, private firms, other government agencies, contractors, documents submitted to or received from a budget, accounting, travel, training or other office maintaining the records in the performance of their duties.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

#### TREASURY/DO .211

#### SYSTEM NAME:

Telephone Call Detail Records—Treasury/DO.

#### SYSTEM LOCATION:

Department of the Treasury, 1425 New York Avenue, NW, Washington DC 20220. Other locations of this records system consisting of the following Treasury components and their associated field offices are: Departmental Offices (DO), including the Office of Inspector General (OIG); Bureau of Alcohol, Tobacco and Firearms (ATF); Comptroller of the Currency (CC); United States Customs Service (CS); Bureau of Engraving and Printing (BEP); Federal Law Enforcement Training Center (FLETC); Financial Management Service (FMS); Internal Revenue Service (IRS); United States Mint (Mint); Bureau of the Public Debt (BPD); United States Secret Service (USSS), and the Office of Thrift Supervision (OTS).

#### CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals (generally agency employees and contractor personnel) who make local and/or long distance calls, individuals who received telephone calls placed from or charged to agency telephones.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

Records relating to the use of Department telephones to place local and/or long distance calls, whether through the Federal Telecommunications System (FTS), commercial systems, or similar systems; including voice, data, and videoconference usage; telephone calling card numbers assigned to employees; records of any charges billed to Department telephones; records relating to location of Department telephones; and the results of administrative inquiries to determine responsibility for the placement of specific local or long distance calls. Telephone calls made to any Treasury Office of Inspector General Hotline numbers are excluded from the records maintained in this system pursuant to the provisions of 5 U.S.C., appendix 3, section 7(b) (Inspector General Act of 1978).

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

12 U.S.C. 1, 12 U.S.C. 93a, 12 U.S.C. 481, 5 U.S.C. 301 and 41 CFR 201-21.6.

#### PURPOSE(S):

The Department, in accordance with 41 CFR 201-21.6, Use of Government Telephone Systems, established the Telephone Call Detail program to enable it to analyze call detail information for verifying call usage, to determine responsibility for placement of specific long distance calls, and for detecting

possible abuse of the government-provided long distance network.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records and information from these records may be disclosed: (1) To representatives of the General Services Administration or the National Archives and Records Administration who are conducting records management inspections under authority of 44 U.S.C. 2904 and 2906; (2) to employees or contractors of the agency to determine individual responsibility for telephone calls; (3) to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing a statute, rule, regulation, order, or license, or where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (4) to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings where relevant and necessary; (5) to a telecommunications company providing telecommunication support to permit servicing the account; (6) to another Federal agency to effect an interagency salary offset, or an interagency administrative offset, or to a debt collection agency for debt collection services. Mailing addresses acquired from the Internal Revenue Service may be released to debt collection agencies for collection services, but shall not be disclosed to other government agencies; (7) to the Department of Justice for the purpose of litigating an action or seeking legal advice; (8) in a proceeding before a court, adjudicative body, or other administrative body, before which the agency is authorized to appear when: (a) The agency, or (b) any employee of the agency in his or her official capacity, or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States, when the agency determines that litigation is likely to affect the agency, is a party to the litigation or has an interest in such litigation, and the use of such records by the agency is deemed relevant and necessary to the litigation or administrative proceeding and not otherwise privileged; (9) to a congressional office in response to an

inquiry made at the request of the individual to whom the record pertains; (10) to unions recognized as exclusive bargaining representatives under the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114, the Merit Systems Protection Board, arbitrators, the Federal Labor Relations Authority, and other parties responsible for the administration of the Federal labor-management program for the purpose of processing any corrective actions or grievances or conducting administrative hearings or appeals or if needed in the performance of other authorized duties; (11) to the Defense Manpower Data Center (DMDC), Department of Defense, the U.S. Postal Service, and other Federal agencies through authorized computer matching programs to identify and locate individuals who are delinquent in their repayment of debts owed to the Department, or one of its components, in order to collect a debt through salary or administrative offsets; (12) in response to a Federal agency's request made in connection with the hiring or retention of an individual, issuance of a security clearance, license, contract, grant, or other benefit by the requesting agency, but only to the extent that the information disclosed is relevant and necessary to the requesting agency's decision on the matter.

#### DISCLOSURE TO CONSUMER REPORTING AGENCIES:

*Disclosures pursuant to 5 U.S.C. 552a(b)(12):* Disclosures may be made from this system to "consumer reporting agencies" as defined in the Fair Credit Reporting Act (15 U.S.C. 1681(f)) or the Federal Claims Collections Act of 1966 (31 U.S.C. 3701(a)(3)).

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Microform, electronic media, and/or hard copy media.

##### RETRIEVABILITY:

Records may be retrieved by: Individual name; component headquarters and field offices; by originating or terminating telephone number; telephone calling card numbers; time of day; identification number, or assigned telephone number.

##### SAFEGUARDS:

Protection and control of any sensitive but unclassified (SBU) records are in accordance with TD P 71-10, Department of the Treasury Security Manual, and any supplemental guidance issued by individual components.

#### RETENTION AND DISPOSAL:

Records are maintained in accordance with National Archives and Records Administration General Records Schedule 3. Hard copy and microform media disposed by shredding or incineration. Electronic media erased electronically.

#### SYSTEM MANAGER(S) AND ADDRESSES:

Department of the Treasury: Official prescribing policies and practices—Director, Corporate Systems Management, Department of the Treasury, Room 2150, 1425 New York Avenue, NW., Washington, DC 20220. The system managers for the Treasury components are:

DO: Chief, Telecommunications Branch, Automated Systems Division, Room 1121, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

OIG: Assistant Inspector General for Resources, Suite 510, 740 15th St. NW., Washington, DC 20220.

ATF: Chief, Voice Communications Branch, 650 Massachusetts Avenue, NW., Washington, DC 20552.

CC: Associate Director, Telecommunications, Systems Support Division, Office of the Comptroller of the Currency, 835 Brightseat Road, Landover, MD 20785.

CS: Chief, Voice Communications, Office of Systems Engineering and Operations, Field Office Division, 7681 Boston Boulevard, Springfield, VA 22153.

BEP: Deputy Associate Director (Chief Information Officer), Office of Information Systems, Bureau of Engraving and Printing, Room 711A, 14th and C Street, SW., Washington, DC 20228.

FLETC: Information Systems Officer, Information Systems Division, ISD—Building 94, Glynco, GA 31524.

FMS: Director, Platform and Support Management, Room 424E, 3700 East West Highway, Hyattsville, MD 20782.

IRS: Official prescribing policies and practices: National Director, Operations and Customer Support, Internal Revenue Service, 1111 Constitution Avenue, NW, Washington, DC 20224. Office maintaining the system: Director, Detroit Computing Center, (DCC), 1300 John C. Lodge Drive, Detroit, MI 48226.

Mint: Assistant Director for Information Resources Management, 633 3rd Street, NW., Washington, DC 20220.

BPD: Official prescribing policies and practices: Assistant Commissioner (Office of Automated Information Systems), 200 Third Street, Room 202, Parkersburg, WV 26106-1328. Office maintaining the system: Division of

Communication, 200 Third Street, Room 107, Parkersburg, WV 26106-1328.

USSS: Chief, Information Resources Management Division, 1800 G Street, NW., Room 1000, Washington, DC 20223.

OTS: Director, Office of Information Systems, 1700 G Street, NW., 2nd Floor, Washington, DC 20552.

#### NOTIFICATION PROCEDURE:

Individuals seeking notification and access to any record contained in the system of records, or seeking to contest its content, may inquire in accordance with instructions pertaining to individual Treasury components appearing at 31 CFR part 1, subpart C, appendices A-M.

#### RECORD ACCESS PROCEDURES:

Individuals seeking notification and access to any record contained in this system of records, or seeking to contest its content, may inquire in accordance with instructions pertaining to individual Treasury components appearing at 31 CFR part 1, subpart C, appendices A-M.

#### CONTESTING RECORD PROCEDURES:

See "Notification procedure" above.

#### RECORD SOURCE CATEGORIES:

Telephone assignment records, call detail listings, results of administrative inquiries to individual employees, contractors or offices relating to assignment of responsibility for placement of specific long distance or local calls.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

None.

#### TREASURY/DO .212

##### SYSTEM NAME:

Suspicious Activity Reporting System (the "SAR System").

##### SYSTEM LOCATION:

The SAR System is housed at the Internal Revenue Service Computing Center ("DCC") in Detroit, Michigan and is managed by the Financial Crimes Enforcement Network ("FinCEN"), 2070 Chain Bridge Road, Suite 200, Vienna, VA 22182, with the assistance of the staff of DCC.

#### CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

The SAR System contains information about: (1) Individuals or entities that are known perpetrators or suspected perpetrators of a known or suspected federal criminal violation, or pattern of criminal violations, committed or attempted against a financial institution, or participants in a transaction or

transactions conducted through the financial institution, that has been reported by the financial institution, either voluntarily or because such a report is required under the rules of FinCEN, one or more of the Federal Supervisory Agencies (the Board of Governors of the Federal Reserve System ("the Board"), the Office of the Comptroller of the Currency ("OCC"), the Federal Deposit Insurance Corporation ("FDIC"), the Office of Thrift Supervision ("OTS"), and the National Credit Union Administration ("NCUA") (collectively, the "Federal Supervisory Agencies")), or both. (2) Individuals or entities that are participants in transactions, conducted or attempted by, at or through a financial institution, that have been reported because the institution knows, suspects, or has reason to suspect that: (a) The transaction involves funds derived from illegal activities, the transaction is intended or conducted to hide or disguise funds or assets derived from illegal activities as part of a plan to violate or evade any law or regulation or to avoid any transaction reporting requirement under Federal law; (b) the transaction is designed to evade any regulations promulgated under the Bank Secrecy Act, Pub. L. 91-508, as amended, codified at 12 U.S.C. 1829b, 12 U.S.C. 1951-1959, and 31 U.S.C. 5311-5330; or (c) the transaction has no business or apparent lawful purpose or is not the sort in which the particular customer would normally be expected to engage, and the financial institution knows of no reasonable explanation for the transaction after examining the available facts, including the background and possible purpose of the transaction; (3) Individuals who are directors, officers, employees, agents, or otherwise affiliated with a financial institution; (4) Individuals or entities that are actual or potential victims of a criminal violation or series of violations; (5) Individuals who are named as possible witnesses in connection with matters arising from any such report; (6) Individuals or entities named as preparers of any such report; (7) Individuals or entities named as persons to be contacted for assistance by government agencies in connection with any such report; (8) Individuals or entities who have or might have information about individuals or criminal violations described above; and (9) Individuals or entities involved in evaluating or investigating any matters arising from any such report.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

The SAR System contains information reported to FinCEN by financial

institutions on a Suspicious Activity Report ("SAR") required under the authority of FinCEN or one or more of the Federal Supervisory Agencies, or both. SARs contain information about the categories of persons or entities specified in "Categories of Individuals Covered by the System." The SAR System may also contain records pertaining to criminal prosecutions, civil actions, enforcement proceedings, and investigations resulting from or relating to SARs. Additionally, it will contain records pertaining to criminal prosecutions, civil actions, enforcement proceedings, and investigations relating to institutions required to file reports or under the supervision of one or more of the Federal Supervisory agencies.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

The system is established and maintained in accordance with 31 U.S.C. 5318(g); 31 CFR part 103; 31 U.S.C. 321; and Department of the Treasury Order 105-08.

#### PURPOSE(S):

The requirements of FinCEN and the Federal Supervisory Agencies create an integrated process for reporting suspicious activity and known or suspected crimes by, at, or through depository institutions and certain of their affiliates. The process is based on a single uniform SAR filed with FinCEN.

The SAR System has been created, as a key part of this integrated reporting process, to permit coordinated and enhanced analysis and tracking of such information, and rapid dissemination of SAR information to appropriate law enforcement and supervisory agencies. The provisions of 31 U.S.C. 5318(g)(4)(B) specifically require that the agency designated as repository for SARs refer those reports to any appropriate law enforcement or supervisory agency.

Data from the SAR System will be exchanged, retrieved, and disseminated, both manually and electronically among FinCEN, the Federal Supervisory Agencies, appropriate federal, state, and local law enforcement agencies, and state banking supervisory agencies. Agencies to which information will be referred electronically, which in certain cases may involve electronic transfers of batch information, include the Federal Supervisory Agencies, the Federal Bureau of Investigation (FBI), the Criminal Investigation Division of the Internal Revenue Service, the United States Secret Service, the United States Customs Service, the Executive Office of the United States Attorneys and the Offices of the 93 United States

Attorneys, and state bank supervisory agencies and certain state law enforcement agencies, which have entered into appropriate agreements with FinCEN. (The FBI and Secret Service may receive electronic transfers of batch information as forms are filed to permit those agencies more efficiently to carry out their investigative responsibilities.) Organizations to which information is regularly disseminated are referred to as SAR System Users. It is anticipated that information from the SAR system will also be disseminated to other appropriate federal, state, or local law enforcement organizations and regulatory agencies that enter into appropriate agreements with FinCEN. In addition, information may be disseminated to non-United States financial regulatory and law enforcement agencies.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records and information in these records may be used to: (1) Provide information or records, electronically or manually, to SAR System Users relevant to the enforcement and supervisory programs and operations of those Users; (2) Provide SAR System Users and their Executive Departments with reports that indicate the number, amount, individual identity, and other details concerning potential violations of the law that have been the subject of Suspicious Activity Reports; (3) Provide information or records to any appropriate domestic or non-United States governmental agency or self-regulatory organization charged with the responsibility of administering law or investigating or prosecuting violations of law, or charged with the responsibility of enforcing or implementing a statute, rule, regulation, order, or policy, or charged with the responsibility of issuing a license, security clearance, contract, grant, or benefit, when relevant to the responsibilities of these agencies or organizations; (4) Provide information or records, when appropriate, to international and foreign governmental authorities in accordance with law and formal or informal international agreement; (5) Disclose on behalf of a SAR System User, the existence, but not necessarily the content, of information or records to a third party, in cases where a SAR System User is a party or has a direct interest and where the SAR System User has concluded that such disclosure is necessary; (6) Provide information or records to the Department of Justice, or in a

proceeding before a court, adjudicative body, or other administrative body before which the SAR System User is authorized to appear, when (a) the SAR System User, or any component thereof; or (b) any employee of the SAR System User in his or her official capacity; or (c) any employee of the SAR System User, where the Department of Justice or the SAR System User has agreed to represent the employee; or (d) the United States is a party to litigation or has an interest in such litigation, when the SAR System User determines that litigation is likely to affect the SAR System User or any of its components and the use of such records by the Department of Justice or the SAR System User is deemed by the SAR System User to be relevant and necessary to the litigation, provided, however, that in each case it has been determined that the disclosure is compatible with the purpose for which the records were collected; (7) Disclose information or records to individuals or entities to the extent necessary to elicit information pertinent to the investigation, prosecution, or enforcement of civil or criminal statutes, rules, regulations, or orders; (8) In accordance with Executive Order 12968 (August 2, 1995), provide information or records to any appropriate government authority in connection with investigations and reinvestigations to determine eligibility for access to classified information to the extent relevant for matters that are by statute permissible subjects of inquiry; (9) Provide, when appropriate, information or records to a bar association, or other trade or professional organization performing similar functions, for possible disciplinary action; (10) Provide information or records to the Department of State and to the United States Intelligence Community, within the meaning of Executive Order 12333 (December 4, 1981) to further those agencies' efforts with respect to national security and international narcotics trafficking; (11) Furnish analytic and statistical reports to government agencies and the public providing information about trends and patterns derived from information contained on Suspicious Activity Reports, in a form in which individual identities are not revealed; and (12) Disclose information or records to any person with whom FinCEN, the DCC or a SAR System User contracts to provide consulting, data processing, clerical, or secretarial functions relating to the official programs and operations of FinCEN, DCC, or the SAR System User.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records are maintained in magnetic media and on hard paper copy.

**RETRIEVABILITY:**

Data in the SAR System may be retrieved by sectionalized data fields (i.e., name of financial institution or holding company, type of suspected violation, individual suspect name, witness name, and name of individual authorized to discuss the referral with government officials) or by the use of search and selection criteria.

**SAFEGUARDS:**

The system is located in a guarded building that has restricted access. Access to the computer facilities and any paper records is subject to additional physical safeguards that restrict access. Access to any electronic records in the system is restricted by means of passwords and non-transferable identifiers issued to authorized SAR System Users. The system complies with all applicable security requirements of the Department of the Treasury.

**RETENTION AND DISPOSAL:**

Records in this system will be updated periodically to reflect changes, and will be maintained in electronic form as long as needed for the purpose for which the information was collected. Records will then be disposed of in accordance with applicable law.

**SYSTEM MANAGERS AND ADDRESS:**

Deputy Director, Financial Crimes Enforcement Network, United States Department of the Treasury, 2070 Chain Bridge Road, Suite 200, Vienna, Virginia 22182.

**NOTIFICATION PROCEDURE:**

This system is exempt from notification requirements, record access requirements, and requirements that an individual be permitted to contest its contents, pursuant to the provisions of 5 U.S.C. 552a(j)(2) and (k)(2).

**RECORD ACCESS PROCEDURES:**

See "Notification Procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedure" above.

**RECORD SOURCE CATEGORIES:**

Records in this system may be provided by or obtained from: Individuals; financial institutions and certain of their affiliates; Federal Supervisory Agencies; State financial institution supervisory agencies;

domestic or foreign governmental agencies; foreign or international organizations; and commercial sources. Pursuant to the provisions of 5 U.S.C. 552a(j)(2) and (k)(2), this system is exempt from the requirement that the record source categories be disclosed.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552a(c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

**TREASURY/DO .213.**

**SYSTEM NAME:**

Bank Secrecy Act Reports System—Treasury/DO .213.

**SYSTEM LOCATION:**

Electronic Records: Currency and Banking Retrieval System, Internal Revenue Service Detroit Computing Center, 985 Michigan Avenue, Detroit, Michigan 48226-1129 and Treasury Enforcement Communications System, United States Customs Service Newington, 7681 Boston Boulevard, Springfield, Virginia, 22153-3140. Paper Records: Form 4790—U.S. Customs Service, Newington, VA. All other forms, including, but not limited to, Form 4789, TDF 90.22-1 and Form 8362—Internal Revenue Service, Detroit, MI.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons identified in reports required to be filed under the Bank Secrecy Act and its implementing regulations (31 CFR part 103) including, but not limited to, reports made on IRS Form 4789 (Currency Transaction Report), IRS Form 8362 (Currency Transaction Report by Casinos), Customs Form 4790 (Report of International Transportation of Currency or Monetary Instruments), Treasury Form TDF 90-22.1 (Report of Foreign Bank and Financial Accounts), and forms filed by casinos located in the State of Nevada in lieu of Form 8362. (This system of records does not cover persons identified in Suspicious Activity Reports, TDF 90-22.47. Those reports are included in another system of records, "Suspicious Activity Reporting System—Treasury/DO .212.")

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Reports required to be filed under the Bank Secrecy Act and its implementing regulations (31 CFR part 103) including, but not limited to, reports made on IRS Form 4789 (Currency Transaction Report), IRS Form 8362 (Currency Transaction Report by Casinos),



Customs Form 4790 (Report of International Transportation of Currency or Monetary Instruments), Treasury Form TDF 90-22.1 (Report of Foreign Bank and Financial Accounts), and forms filed by casinos located in the State of Nevada in lieu of Form 8362. (This system does not include Suspicious Activity Reports, TDF 90-22.47, required under 31 CFR part 103. Those reports are included in another system of records, "Suspicious Activity Reporting System—Treasury/DO .212.") These reports include names of individuals and other entities filing the reports, names of the owners of monetary instruments, the amounts and kinds of currency or other monetary instruments transported, reported, or in foreign banking accounts, account numbers, addresses, dates of birth, and other personal identifiers.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1829b and 1951-1959; 31 U.S.C. 5311-5314, 5316-5330; 5 U.S.C. 301; 31 CFR part 103; Treasury Department Order No. 105-08.

**PURPOSES:**

The Bank Secrecy Act, codified at 12 U.S.C. 1829b and 1951-1959 and 31 U.S.C. 5311-5314, 5316-5330, authorizes the Secretary of the Treasury to issue regulations requiring records and reports that are determined to have a high degree of usefulness in criminal, tax, and regulatory matters. The Secretary's authority has been implemented through regulations promulgated at 31 CFR part 103. The purpose of this system of records is to maintain the information contained on the reports required under these regulations. This information is disseminated, both electronically and manually, in accordance with strict safeguards, to appropriate Federal, State, local and foreign criminal law enforcement and regulatory personnel in the official performance of their duties. The information is used in a wide range of criminal investigations, including, but not limited to, investigation of international and domestic money laundering, tax evasion, fraud, and other financial crimes.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or

implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) Disclose information to Federal, State, or local agencies, maintaining civil, criminal or other relevant information, which has requested information relevant to or necessary to the requesting agency's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (3) Disclose to appropriate Federal, State, or local agencies engaged in the identification, investigation, and prosecution of violations or potential violations of criminal statutes, information, in a computerized format, to identify or to permit the identification of patterns of suspected criminal activity that fall within the jurisdiction of the agency requesting the information; (4) Disclose information to Federal or State regulatory agencies or self regulatory agencies responsible for supervising compliance with the Bank Secrecy Act, limited to information relevant to meeting supervisory or compliance responsibilities; (5) Disclose relevant information on individuals to authorized Federal and State agencies through computer matching in order to help eliminate waste, fraud, and abuse in Government programs and identify individuals who are potentially in violation of civil law, criminal law, or regulation; (6) Disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (7) Provide information to the news media, in accordance with guidelines contained in 28 CFR 50.2, that relates to an agency's functions relating to civil and criminal proceedings; and (8) Provide information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records are maintained in magnetic media and on hard paper copy.

**RETRIEVABILITY:**

By name and other unique identifier.

**SAFEGUARDS:**

All persons with electronic access to records in the system will have successfully completed a background investigation. All State and local agency personnel, and all Federal personnel outside the U. S. Department of the Treasury with electronic access will have successfully completed appropriate training. Passwords and access controls will be utilized. Signed agreements outlining usage and dissemination rules are required of all non-Treasury agencies before electronic access is authorized. Procedural and physical safeguards include: The logging of all queries and periodic review of such query logs; compartmentalization of information to restrict access to authorized personnel; physical protection of sensitive hard copy documents and magnetic tapes; encryption of electronic communications; intruder alarms and other security devices; and 24-hour building guards. The system complies with all applicable security requirements of the Department of the Treasury.

**RETENTION AND DISPOSAL:**

Indefinite.

**SYSTEM MANAGER(S) AND ADDRESS:**

General Policy: Director, Financial Crimes Enforcement Network, 2070 Chain Bridge Road, Vienna, Virginia 22182-2536.

**COMPUTER SYSTEMS MAINTENANCE AND ADMINISTRATION:**

Director, IRS Computing Center, 985 Michigan Avenue, Detroit, Michigan, 48226-1129 and Director, Office of Information Technology, U.S. Customs Service Newington, 7681 Boston Boulevard, Springfield, Virginia, 22153-3140.

**NOTIFICATION PROCEDURE:**

This system is exempt from notification requirements, record access requirements, and requirements that an individual be permitted to contest its contents, pursuant to the provisions of 5 U.S.C. 552a(j)(2) and (k)(2).

**RECORD ACCESS PROCEDURES:**

See "Notification Procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification Procedure" above.

**RECORD SOURCE CATEGORIES:**

Pursuant to the provisions of 5 U.S.C. 552a(j)(2) and (k)(2), this system is exempt from the requirement that the record source categories be disclosed.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

This system is exempt from 5 U.S.C. 552a(c)(3), (c)(4), (d)(1), (d)(2), (d)(3), (d)(4), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(4)(I), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2). See 31 CFR 1.36.

BILLING CODE: 4810-31-P

**Bureau of Alcohol, Tobacco, and Firearms**

**TREASURY/ATF .001**

**SYSTEM NAME:**

Administrative Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Division, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Claimants against the Bureau of ATF.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Accident Report—vehicle; (2) Fatality reports; (3) Injury reports; (4) Chief Counsel and District Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) Federal Claims Collection Act. (2) Federal Property and Administration Services Act of 1949, as amended. (3) Federal Tort Claims Act. (4) Military Personnel and Civilian Claim Act. (5) Occupational Safety and Health Act of 1970. (6) Small Claims Act. (7) 5 U.S.C. 1302, 3301, 3302.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative matter; (3) appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an

employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) unions recognized as exclusive bargaining representatives in accordance with provisions contained in the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (6) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (7) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

**RETRIEVABILITY:**

Records are retrievable by name of individual.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules Numbers 1 through 23 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms records control schedules numbers 101 and 201 and disposed of by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Administrative Program Division, Bureau of Alcohol, Tobacco, and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650

Massachusetts Avenue, NW, Washington, DC 20226. Requests may be delivered personally to Room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**RECORD ACCESS PROCEDURES:**

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Administrative records. (2) Claimants. (3) Doctors. (4) Employee records. (5) Fiscal records. (6) Former employees of the Bureau of ATF. (7) Former employers. (8) General Services Administration. (9) Individuals who have information relevant to claims. (10) Inspections records. (11) Internal Investigation reports. (12) Police reports. (13) Present employees of the Bureau of ATF. (14) Supervisors. (15) Witnesses. (16) Insurance companies.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/ATF .002**

**SYSTEM NAME:**

Correspondence Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco, and Firearms, 650 Massachusetts Avenue NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Division, Room 8290, 650 Massachusetts Avenue, NW Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Persons who correspond with the Bureau requesting information relating to Bureau personnel. (2) Persons who correspond with the Bureau requesting information relating to Bureau activities. (3) Persons who correspond with the Bureau requesting rulings, interpretations, or technical and scientific matters of a general nature. (4) Persons who correspond with others and whose correspondence is referred to ATF for response. (5) Persons referred to in correspondence with the Bureau. (6) Authors and publishers of technical and

scientific matters relating to Bureau activities.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence with individuals who contact the Bureau requesting information relating to Bureau personnel and/or activities, Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

5 U.S.C. 301, Executive Order 11222.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to an administrative, fiscal or personnel matter; (3) appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (6) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers.

**RETRIEVABILITY:**

Records are retrieved by name, subject matter and date of correspondence.

**SAFEGUARDS:**

Transmitted to routine users on a "need to know" basis. Stored in

lockable file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Liaison and Public Information, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

Inquiries should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Requests may be delivered personally to Room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**RECORD ACCESS PROCEDURES:**

Requests for access to records made by mail should be addressed to: Privacy Act Request, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Requests may be delivered personally to room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Appeals may be delivered personally to room 8290, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

Persons who correspond with the Bureau on general, technical or scientific matters.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/ATF .003**

**SYSTEM NAME:**

Criminal Investigation Report System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and

Firearms' field offices. A list of field offices is available by writing to the Chief, Disclosure Division, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Criminal offenders or alleged criminal offenders acting alone or in concert with other individuals and suspects who have been or are under investigation for a violation or suspected violation of laws enforced by the Bureau. (2) Criminal offenders or alleged criminal offenders acting alone or in concert with individuals who have been referred to the Bureau of Alcohol, Tobacco and Firearms by other law enforcement agencies, governmental units and the general public. (3) Informants. (4) Persons who come to the attention of the Bureau in the conduct of criminal investigations. (5) Persons who have been convicted of a crime punishable by imprisonment for a term exceeding one year and who have applied for relief from disabilities under Federal law with respect to the acquisition, receipt, transfer, shipment, or possession of firearms and explosives and whose disability was incurred by reason of such conviction. (6) Victims of crimes. (7) Witnesses.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(a) Records containing information compiled for the purpose of identifying individual criminal offenders and alleged offenders and consisting only of identifying data and notations of arrest, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status; (b) Records containing information compiled for the purpose of a criminal investigation, including reports of informants and investigators, and associated with an identifiable individual; (c) Records containing reports identifiable to an individual compiled at various stages of the process of enforcement of criminal laws from arrest or indictment through release from supervision; (d) Records compiled and maintained by the Bureau as generally described in (a), (b), and (c) above including the following: (1) Abandoned property reports. (2) ATF Criminal Investigation Reports. (3) ATF referrals to foreign, Federal, state, and local law enforcement agencies. (4) Chief and Regional Counsel opinions. (5) Contemporaneous investigative notes. (6) Criminal investigatory correspondence from and to foreign, Federal, state and local law enforcement agencies. (7) Criminal intelligence information on individuals suspected to

be violating ATF laws and regulations. (8) Documentary proof of defendant's criminal record, identity, or lack of registration of N.F.A. (as amended) firearm(s). (9) FBI Criminal Record Reports. (10) Fingerprints and palmprints. (11) Fugitive arrest warrants. (12) Handwriting exemplars. (13) Index cards, violation and reputation. (14) Illicit liquor and raw material surveys. (15) Laboratory reports of evidence analysis. (16) Memoranda of expected testimony of witnesses. (17) Organized crime members violating or suspected of violating ATF laws. (18) Parole and pardon reports. (19) Personal histories (address, employment, social security number, financial background, physical description, etc.). (20) Photographs. (21) Purchase of evidence records. (22) Records of electronic surveillance by ATF. (23) Records received in response to summons and subpoenas. (24) Reliefs from disability. (25) Reports of interview with witnesses. (26) Search warrants and affidavits for search warrants. (27) Seized property reports. (28) Significant criminals, armed and dangerous, firearms, explosives and liquor. (29) Special agent's daily activity diary (accessible by date only). (30) State and local law enforcement criminal investigative reports. (31) Statements of defendants. (32) Statements of witnesses. (33) Summons and subpoenas issued pursuant to criminal investigations. (34) Voice prints. (35) Wagering tax suspected violators. (36) Warning and demand letters. (37) Criminal violation reports (a formal report compiling all or portions of the foregoing for prosecutive purposes).

#### **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 26 U.S.C. Chapters 35 and 40; (2) 26 U.S.C. Chapters 51 and 52; (3) 26 U.S.C. Chapter 53, as amended; (4) 26 U.S.C. Chapters 61 through 80, as amended; (5) 27 U.S.C. Chapter 8, as amended (Federal Alcohol Administration Act); (6) 18 U.S.C. Chapter 40; (7) 18 U.S.C. Chapter 44; (8) 18 U.S.C. Chapter 59; (9) 18 U.S.C. App. 1201-1203 (Title VII of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by Title III of the Gun Control Act of 1968); (10) 22 U.S.C. section 414, (Mutual Security Act of 1954, as amended); (11) 5 U.S.C. sections 901 and 903, 5 U.S.C. App. (Reorganization Plan of 1950), Treasury Order 221, 5 U.S.C. section 301.

#### **PURPOSE(S):**

The purpose of this system is to suppress traffic in illicit untaxed distilled spirits; to enforce the Federal laws relating to the illegal possession

and use of firearms, destructive devices, explosives, explosive materials; and to assist Federal, state, local and foreign law enforcement agencies in reducing crime and violence.

#### **ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of other government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (3) appropriate Federal, state, local and foreign agencies for the purpose of enforcing and investigating administrative, civil or criminal laws relating to the hiring or retention of an employee; issuance of security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) INTERPOL and similar criminal intelligence gathering organizations for the purpose of identifying and suppressing the activities of international and national criminals and terrorists; (6) appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (7) insurance companies making determinations regarding claims in cases that the Bureau has conducted or is conducting an arson investigation; (8) a congressional office in response to an inquiry of the individual to whom the record pertains; (9) unions recognized as exclusive bargaining representatives in accordance with provisions contained in the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (10) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

#### **POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

##### **STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored in electronic media.

##### **RETRIEVABILITY:**

Records are retrievable by name, date of birth, social security number, unique identifier, investigation number, serial number of firearm, or a combination of any of these; plus date and geographical location of incident giving rise to investigation.

##### **SAFEGUARDS:**

Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

##### **RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 23 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records on tape or on-line mass storage are disposed of by degaussing.

##### **SYSTEM MANAGER(S) AND ADDRESS:**

Associate Directors, Firearms Explosive & Arson, Alcohol and Tobacco Field Operations and Science & Technology, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

##### **NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

##### **RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

##### **CONTESTING RECORD PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**RECORD SOURCE CATEGORIES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(I).

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a (j) and 31 CFR 1.36.

**TREASURY/ATF .005****SYSTEM NAME:**

Freedom of Information Requests—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, Disclosure Division, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who are requesting information.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Correspondence pursuant to the Freedom of Information Act, internal processing documents and memoranda, referrals and copies of requested records, and Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Freedom of Information Act, 5 U.S.C. 552.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) Disclose information to other agencies when required for coordination of response or referral; (2) disclose information to the Department of Justice for defending law suits; (3) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

File folders.

**RETRIEVABILITY:**

By name of requester(s) and date of request.

**SAFEGUARDS:**

Filed in filing cabinet and released only to individuals with legitimate right to review.

**RETENTION AND DISPOSAL:**

In accordance with the provisions of the Act and Departmental records management procedures.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief, Disclosure Division, Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

See "System manager."

**RECORD ACCESS PROCEDURES:**

See "System manager."

**CONTESTING RECORD PROCEDURES:**

See "System manager."

**RECORD SOURCE CATEGORIES:**

Individuals who make Freedom of Information Act requests. Federal officials responding to Freedom of Information Act requests and documents from official records.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/ATF .006****SYSTEM NAME:**

Internal Security Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Present employees of the Bureau of ATF. (2) Former employees of the Bureau of ATF. (3) Applicants for employment. (4) Non-Bureau employees involved in criminal acts toward Bureau employees and Bureau property. (5) Individuals who were interviewed by Internal Affairs Special Agents. (6) Contract employees.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Records containing investigative material compiled for law enforcement purposes including reports relating to: (a) Conduct of employees and contract employees. (b) Integrity of employees. (2) Records containing investigative material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or access to classified information including reports relating to security clearances of employees.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

18 U.S.C. 201, Executive Order 10450, Executive Order 11222.

**PURPOSE(S):**

This system is used to assure the Bureau Director, the Department of the Treasury, and the public that the Bureau is taking strong and vigorous steps to maintain the highest standards of integrity, loyalty, conduct, and security among Bureau personnel and contract employees. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of other government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (3) appropriate Federal, state, local and foreign agencies for the purpose of enforcing and investigating administrative, civil or criminal law relating to the hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (6) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (7) unions recognized as exclusive bargaining representatives in accordance with provisions contained in the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (8) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets and computer system (hard disk). Inactive records stored in file folders at Federal Records Center.

**RETRIEVABILITY:**

Records are retrievable by name.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of the Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and to others upon verification of the substance and propriety of the request. Stored in lockable metal file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules Numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director (Office of Inspection), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

**RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Employees of this Bureau; (2) Internal Investigative report forms; (3) Witnesses; (4) Informants; (5) Federal, state and local enforcement agencies; (6) Employers; (7) Educational institutions; (8) Credit agencies; (9) Neighbors; (10) References; (11) Professional Organizations; (12) Other government agencies; (13) Claimants; (14) Victims.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Portions exempt under 5 U.S.C. 552a (k) (relating to security clearances) and 5 U.S.C. 552a (k)(2) (relating to conduct and integrity) and 31 CFR 1.36.

**TREASURY/ATF .007**

**SYSTEM NAME:**

Personnel Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout the Bureau's field offices. A list of field offices is available by writing to the Chief, Disclosure Division, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Present Employees of the Bureau of ATF. (2) Former Employees of the Bureau of ATF. (3) Applicants for employment with ATF.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

(1) Allotment and Dues. (2) Annual Tax Reports. (3) Applicants for employment. (4) Applications for reassignment. (5) Awards, honors, and fellowship records. (6) Classification appeal records. (7) Death claim records. (8) Educational history. (9) Employee indebtedness records. (10) Employees qualified as Grievance Examiners. (11) Employee Suggestions. (12) Employee history. (13) Employee relations case file. (14) Equal employment opportunity records. (15) Health maintenance records. (16) Insurance records. (17) Military history. (18) Occupational injuries, disabilities, and Worker's Compensation Records. (19) Official personnel folder. (20) Outside employment and identification numbers, business or professional records. (21) Outside employment. (22) Outside financial interests. (23) Overtime and/or Premium Pay records. (24) Performance evaluation records. (25) Personal history. (26) Position description records. (27) Promotion/Selection Certificates Records. (28) Property custody records. (29) Retirement records. (30) Records of security clearance. (31) Statement of career goals. (32) Supervisory or managerial potential records. (33) Temporary assignments and details. (34) Time application reports and records. (35) Training record. (36) U.S. Savings Bond participation records. (37) Upward mobility applications. (38) Vehicle accidents. (39) Withholding tax records.

(40) Work schedule records. (41) Chief Counsel and Regional Counsel memoranda and opinions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 5 U.S.C. Chapter 29, Subchapter II. (2) 5 U.S.C. Chapters 31 and 33. (3) 5 U.S.C. Chapter 43. (4) 5 U.S.C. Chapter 45. (5) 5 U.S.C. Chapter 51. (6) 5 U.S.C. Chapter 55, subchapter III. (7) 5 U.S.C. Chapter 61. (8) 5 U.S.C. Chapter 75. (9) 5 U.S.C. Chapter 83. (10) 5 U.S.C. Section 301. (11) 5 U.S.C. 4503. (12) 5 U.S.C. Section 5101–5115. (13) 5 U.S.C. section 7151–7154. (14) 5 U.S.C. Section 7901. (15) Pub. L. 92–261 (Equal Employment Act of 1972). (16) Pub. L. 93–579. (Federal Employees Compensation Act). (17) Occupational Safety and Health Act of 1970. (18) Executive Order 10561. (19) Executive Order 11222. (20) Executive Order 11478. (21) Executive Order 11491.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) Employees of government agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party, to the extent necessary, to collect relevant information from the third party, provided that the information is needed by the Bureau to render a decision in regard to a personal matter; (3) appropriate Federal, state, local or foreign agencies responsible for enforcing administrative, civil, or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) unions recognized as exclusive bargaining representatives in accordance with provisions contained in the Civil Service Reform Act of 1978, 5 U.S.C. 7111 and 7114; (6) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (7) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Active records stored in file folders in security filing cabinets. Inactive records stored in file folders at Federal Records Centers. Records also stored in electronic media.

**RETRIEVABILITY:**

Records are retrievable by name, date of birth, social security number, employee identification number, or a combination of any of these four.

**SAFEGUARDS:**

Direct access restricted to personnel in Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis or where "a right to access" is established, and to others upon verification of the substance and propriety of the request. Stored in lockable file cabinets in rooms locked during non-duty hours.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with General Records Schedules numbers 1 through 23 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

**SYSTEM MANAGER(S) AND ADDRESS:**

Assistant Director (Management)/  
Chief Financial Officer, Bureau of  
Alcohol, Tobacco and Firearms, 650  
Massachusetts Avenue, NW,  
Washington, DC 20226.

**NOTIFICATION PROCEDURE:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

**RECORD ACCESS PROCEDURES:**

The Director of the Bureau of Alcohol, Tobacco and Firearms has exempted this system of records from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

**CONTESTING RECORD PROCEDURES:**

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Administrative Records. (2) Applicants for employment with the Bureau. (3) Acquaintances. (4) Business and professional associates. (5) Creditors. (6) Criminal records. (7)

Educational Institutions attended. (8) Employee records. (9) Equal Employment Opportunity Commission. (10) Financial institutions. (11) Fiscal records. (12) Former employees. (13) Former employers. (14) Inspection records. (15) Internal investigation reports. (16) Internal Revenue Service. (17) Military records. (18) Outside employers. (19) Physicians. (20) Police reports. (21) Position classification specialists. (22) Psychiatrists. (23) References. (24) Supervisors. (25) Training officers. (26) Unions, accredited. (27) Office of Personnel Management. (28) Witnesses.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a (k) and 31 CFR 1.36.

**TREASURY/ATF .008**

**SYSTEM NAME:**

Regulatory Enforcement Record System—Treasury/ATF.

**SYSTEM LOCATION:**

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this system of records are also geographically dispersed throughout ATF's district and field offices. A list of field offices is available by writing to the Chief, Disclosure Division, Room 8290, 650 Massachusetts Avenue, NW, Washington, DC 20226.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(1) Individuals who have been issued permits or licenses, have filed applications with ATF, or have registered with ATF as: (a) Brewers; (b) Claimants for refund, abatement, credit, allowance or drawback of excise or special occupational taxes; (c) Collectors of firearms or ammunition; (d) Importers of firearms or ammunition, and (e) Users of explosive materials.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records containing investigative material compiled for law enforcement purposes which may consist of the following: (1) Abstracts of offers in compromise. (2) Administrative law judge decisions. (3) Assessment records: (a) notices of proposed assessments. (b) notices of shortages or losses. (c) notices to IRS to assess taxes. (d) recommendation for assessments. (4) Claim records: (a) claims. (b) letters of claim rejection. (c) sample reports. (d) supporting data. (e) vouchers and schedules of payment. (5) Comments on proposed rulemakings. (6) Complaints from third parties. (7) Correspondence

concerning records in this system and related matters. (8) Financial statements. (9) Inspection and investigation reports. (10) Joint demands on principals and sureties for payment of excise tax liabilities. (11) Letters of reprimand. (12) Lists of permittees and licensees. (13) Lists of officers, directors and principal stockholders. (14) Mailing lists and addressograph plates. (15) Notices of delinquent reports. (16) Offers in compromise. (17) Operation records: (a) Operating reports. (b) Reports of required inventories. (c) Reports of thefts or losses of firearms—who maintains records. (d) Reports of thefts of explosive materials—who maintains records. (e) Transaction records. (f) Transaction reports. (18) Orders of revocation, suspension or annulment of permits or licenses. (19) District and Chief Counsel opinions and memoranda. (20) Reports of violations. (21) Permit status records. (22) Qualifying records: (a) Access authorizations. (b) Advertisement records. (c) Applications. (d) Bonds. (e) Business histories. (f) Criminal records. (g) Diagrams of premises. (h) Educational histories. (i) Employment histories. (j) Environmental records. (k) Financial data. (l) Formula approvals. (m) Label approvals. (n) Licenses. (o) Notices. (p) Permits. (q) Personal references. (r) Plant profiles. (s) Plant capacities. (t) Plats and plans. (u) Registrations. (v) Sample reports. (w) Signature authorities. (x) Special permissions and authorizations. (y) Statements of process. (23) Show cause orders. (24) Tax records: (a) Control cards relating to periodic payment and prepayment of taxes. (b) Excise and special tax returns. (c) Notices of tax discrepancy or adjustment.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

(1) 26 U.S.C. 5172. (2) 26 U.S.C. 5271 (b)(1). (3) 26 U.S.C. 5356. (4) 26 U.S.C. 5401. (5) 26 U.S.C. 5417. (6) 26 U.S.C. 5502 (b). (7) 26 U.S.C. 5511 (3). (8) 26 U.S.C. 5521 (a). (9) 26 U.S.C. 5179 (a). (10) 22 U.S.C. 204 (c). (11) 26 U.S.C. 5105. (12) 26 U.S.C. 5275. (13) 26 U.S.C. 5301 (b). (14) 26 U.S.C. 5132. (15) 26 U.S.C. 5042 (a)(2). (16) 26 U.S.C. 7011. (17) 26 U.S.C. 5712. (18) 18 U.S.C. 923 (a). (19) 18 U.S.C. 923 (b). (20) 18 U.S.C. 843 (a). (21) 22 U.S.C. 414. (22) 26 U.S.C. 4401 (a). (23) 26 U.S.C. 6001. (24) 26 U.S.C. 6011 (a). (25) 26 U.S.C. 5001. (26) 26 U.S.C. 5021–5023. (27) 26 U.S.C. 5041. (28) 26 U.S.C. 5051. (29) 26 U.S.C. 6201. (30) 26 U.S.C. 5008. (31) 26 U.S.C. 5044. (32) 26 U.S.C. 5056. (33) 26 U.S.C. 5705. (34) 26 U.S.C. 6423 (b). (35) 26 U.S.C. 5009 (a). (36) 26 U.S.C. 5006 (a). (37) 26 U.S.C. 5055. (38) 26 U.S.C. 5062 (c). (39) 26 U.S.C. 5106. (40) 26 U.S.C.



5131 (c). (41) 26 U.S.C. 5064. (42) 26 U.S.C. 7122. (43) 27 U.S.C. 207. (44) 18 U.S.C. 843 (d). (45) 18 U.S.C. 923 (f). (46) 27 U.S.C. 204 (e). (47) 26 U.S.C. 5312 (a). (48) 26 U.S.C. 5042 (a)(3). (49) Reorganization Act of 1949, 5 U.S.C. Sections 901 et seq.; Revenue Act of 1951, section 616; Treasury Department Order 221 (37 FR 11696, dated June 19, 1972). (50) 5 U.S.C. 301. (51) 26 U.S.C. 5181.

#### PURPOSE(S):

The purpose of this system is to determine suitability, eligibility or qualifications of individuals who are engaged or propose to engage in activities regulated by ATF; achieve compliance with laws under ATF's jurisdiction; assure full collection of revenue due from legal industries; eliminate commercial bribery, consumer deception and other improper trade practices in the distilled spirits, beer and wine industries; interact with Federal, state and local governmental agencies in the resolution of problems relating to industrial development, revenue protection, public health, ecology, and other areas of joint jurisdictional concern. When a criminal investigation results a compilation of information contained in this system of records, the information shall be transferred to the Treasury ATF-Criminal Investigation Report System and shall become part of that system for all purposes of the Privacy Act of 1974.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

A record in this system may be disclosed as a routine use to: (1) Employees of other governmental agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party to the extent necessary to collect or verify information pertinent to the Bureau's decision to grant, deny or revoke a license or permit; to initiate or complete an investigation of violations or alleged violations of laws and regulations administered by the Bureau; (3) appropriate Federal, state, local or foreign agencies for the purpose of enforcing administrative, civil or criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of or in preparation for civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in

connection with criminal law proceedings; (5) INTERPOL and similar national and international intelligence gathering organizations for the purpose of identifying international and national criminals involved in consumer fraud, revenue evasion or crimes; (6) foreign governments in accordance with formal or informal international agreements; (7) appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (8) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (10) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Active records stored in file folders in filing cabinets and in electronic media.

##### RETRIEVABILITY:

Records are retrievable by name, permit or license number, by document locator number, or by employer Identification Number (EIN).

##### SAFEGUARDS:

Direct access restricted to personnel in the Department of Treasury in the performance of their duty. Transmitted to routine users on a "need to know" basis and others upon verification of the substance and propriety of the request. Stored in file cabinets in rooms locked during non-duty hours.

##### RETENTION AND DISPOSAL:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding, burning or by degaussing.

##### SYSTEM MANAGER(S) AND ADDRESS:

Assistant Directors (Firearms Explosive & Arson, Alcohol and Tobacco Field Operations and Science & Technology), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

#### NOTIFICATION PROCEDURE:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(G).

#### RECORD ACCESS PROCEDURES:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a (e)(4)(H).

#### CONTESTING RECORD PROCEDURES:

See "Record access procedures" above.

#### RECORD SOURCE CATEGORIES:

(1) Acquaintances. (2) Bureau Personnel. (3) Business and Professional Associates. (4) Creditors. (5) Criminal Records. (6) Financial Institutions. (7) Former Employers. (8) Internal Revenue Service. (9) Military Records. (10) Physicians. (11) Psychiatrists. (12) References. (13) Police Reports. (14) Witnesses. (15) Federal Law Enforcement Agencies. (16) State Law Enforcement Agencies. (17) Local Law Enforcement Agencies. (18) State Regulatory Agencies. (19) Federal Regulatory Agencies. (20) Local Regulatory Agencies. (21) Chief Counsel's Opinions. (22) Regional Counsel's Opinions. (23) Chief Counsel's Memoranda. (24) Regional Counsel's Memoranda. (25) Field Investigation Reports. (26) Third Parties.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

Exempt under 5 U.S.C. 552a (k)(2) and 31 CFR 1.36.

#### TREASURY/ATF .009

##### SYSTEM NAME:

Technical and Scientific Services Record System—Treasury/ATF.

##### SYSTEM LOCATION:

Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226. Components of this record system are geographically dispersed throughout Bureau of Alcohol, Tobacco and Firearms' field offices. A list of field offices is available by writing to the Chief, Disclosure Division, Room 8290, 650 Pennsylvania Avenue, NW, Washington, DC 20226.

#### CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

(1) Applicants to register firearms under the National Firearms Act. (2) Applicants for Surplus Military Firearms under the Director of Civilian Marksmanship Program. (3) Importers of



implements of war as defined under the Mutual Security Act of 1954 and the Arms Export Control Act of 1976. (4) Licensed importers registered under the Mutual Security Act of 1954 and the Arms Export Control Act of 1976. (5) Manufacturers of National Firearms Act who are exempt from payment of Special (Occupational) tax provisions. (6) Non-Bureau chemists certified to make analysis of alcoholic beverages. (7) Persons involved in explosives tagging and detection program. (8) Registered owners of National Firearms Act firearms. (9) Special (Occupational) taxpayers as defined under Title II of the Gun Control Act of 1968. (10) Victims of explosives. (11) Individuals involved in Government funded research projects.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

(1) Alterations of registered National Firearms Act firearms. (2) Applications for surplus military firearms. (3) Applications to register firearms and destructive devices under the National Firearms Act. (4) Applications to import articles on the United States Munitions list. (5) Blueprints. (6) Certifications of payment of Special (occupational) tax payments. (7) Changes of address for owner of firearms registered under the National Firearms Act. (8) Claims for erroneous Special (Occupational) taxes payments. (9) Descriptions of Inventions. (10) Delinquency notices regarding proof of importation of National Firearms Act Firearms. (11) Explosive reports. (12) Non-Bureau chemists' statements of qualification. (13) Patent information. (14) Registrations of firearms and destructive devices under the National Firearms Act. (15) Registration of war trophy firearms. (16) Requests and authorizations for temporary movement and/or temporary storage of National Firearms Act firearms. (17) Technical and scientific data. (18) Transaction records concerning National Firearms Act firearms. (19) Trade secrets. (20) United States Government contracts to manufacturers of National Firearms Act firearms. (21) Chief Counsel and Regional Counsel memoranda and opinions.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

(1) 18 U.S.C. Chapter 40; (2) 18 U.S.C. Chapter 44; (3) 18 U.S.C. section 3056; (4) 26 U.S.C. Sections 6001 (a), 5001, 5008, 5009 (a), 5006 (a), 5021 -5023, 5041, 5042 (a)(2), 5051, 5053, 5056, 5062(c), 5705, 6201, 6423(b), 5105, 5106, 5131(c), 5132, 5172, 5172 (b)(1), 5275, 5301(b), 5356, 5401, 5417, 5502 (b), 5511 (3), 5521 (a), 5179(a), 5712, 7011; (5) 27 U.S.C. Sections 204 (c); (6)

26 U.S.C. Chapter 35; (7) Executive Order 10973, as amended by Executive Order 11432.

#### PURPOSE(S):

The purpose of this system is to provide technical and scientific support and expertise to Criminal and Regulatory Enforcement activities of the Bureau; to other Federal, state, local and foreign law enforcement agencies; and to industries involved in activities regulated by the Bureau. When a criminal investigation results in a compilation of information contained in this system, the information so compiled shall be transferred to the ATF Criminal Investigation Report System and shall become a part of that system for all purposes of the Privacy Act of 1974.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

A record in this system may be disclosed as a routine use to: (1) Employees of other governmental agencies when required or authorized to be released by statute, regulations or Executive Order; (2) any third party to the extent necessary to collect or verify information pertinent to the Bureau's decision to grant, deny or revoke a license or permit; to initiate or complete an investigation of violations or alleged violations of laws and regulations administered by the Bureau; (3) appropriate Federal, state, local or foreign agencies, for the purpose of enforcing administrative, civil, criminal laws; hiring or retention of an employee; issuance of a security clearance, license, contract, grant or other benefit; (4) a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (5) INTERPOL and similar national and international intelligence gathering organizations for the purpose of identifying international and national criminals involved in consumer fraud, revenue evasion or crimes; (6) foreign governments in accordance with formal or informal international agreements; (7) appropriate Federal, state, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or

regulation; (8) insurance companies making determinations regarding claims in cases that the Bureau has conducted or is conducting in an arson investigation; (9) a congressional office in response to an inquiry made at the request of the individual to whom the record pertains; (10) provide information to the news media in accordance with guidelines contained in 28 CFR 50.2 which relate to an agency's functions relating to civil and criminal proceedings.

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Active records stored in file folders and in electronic media.

##### RETRIEVABILITY:

Records are retrievable by name, by unique identifier, control number, serial number of National Firearms Act firearms.

##### SAFEGUARDS:

Stored in file cabinets locked during non-duty hours.

##### RETENTION AND DISPOSAL:

Records are retained in accordance with General Records Schedules numbers 1 through 20 issued by the National Archives and Records Administration, and Bureau of Alcohol, Tobacco and Firearms Records Control Schedules numbers 101 and 201 and disposed of by shredding or burning. Records stored on tape discs or on-line mass storage are disposed of by degaussing.

#### SYSTEM MANAGER(S) AND ADDRESS:

Assistant Directors (Firearms Explosive & Arson, Alcohol and Tobacco Field Operations and Science & Technology), Bureau of Alcohol, Tobacco and Firearms, 650 Massachusetts Avenue, NW, Washington, DC 20226.

#### NOTIFICATION PROCEDURE:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a(e)(4)(G).

#### RECORD ACCESS PROCEDURES:

The Director of the Bureau of Alcohol, Tobacco and Firearms has determined this system of records to be exempt from compliance with the provisions of 5 U.S.C. 552a(e)(4)(H).

#### CONTESTING RECORD PROCEDURES:

See "Record access procedures" above.

**RECORD SOURCE CATEGORIES:**

(1) Individuals. (2) Companies. (3) Corporations. (4) Firearms Licensees. (5) Explosive Licensees. (6) Explosive Permittees. (7) Bureau personnel. (8) Federal law enforcement agencies. (9) State law enforcement agencies. (10) Local law enforcement agencies. (11) Foreign law enforcement agencies. (12) Federal Regulatory agencies. (13) State Regulatory agencies. (14) Local Regulatory agencies. (15) Non-Bureau Chemists.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

Exempt under 5 U.S.C. 552a(k)(2) and 31 CFR 1.36.

BILLING CODE: 4810-33-P

**Comptroller of the Currency****TREASURY/COMPTROLLER .004****SYSTEM NAME:**

Consumer Complaint and Inquiry Information System—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency, Customer Assistance Group, 1301 McKinney Street, Suite 3710, Houston, Texas 77010.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons who file complaints against national banks and those who make inquiries about banks or banking issues, whether filed or made directly or through second parties—e.g., attorneys, Congressional representatives, or others.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records maintained in the system include: The name and address of the correspondent; the name and charter number of the involved national bank(s); the dates of the incoming correspondence and its receipt, numeric codes identifying the nature of the complaint or inquiry, the source of the complaint or inquiry, and the type of resolution; identification of the involved OCC district or supervisory office and the OCC personnel assigned to review the correspondence; the resolution date; and, if appropriate, the amount of reimbursement. Supporting records include documents and correspondence submitted by complainants and individuals making inquiries.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1, et seq., 5 U.S.C. 301, 15 U.S.C. 41 et seq.

**PURPOSE(S):**

The information in these and supporting records is maintained by OCC staff in its consumer affairs

program for the investigation and resolution of consumer complaints and inquiries; and by OCC staff in the supervision of national banks.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

The information in these records may be disclosed by OCC staff to respond to Congressional inquiries and the referral of complaints or inquiries made on behalf of constituents and to provide statistical data to Congress and federal or state agencies. Redacted copies of the files may be used in response to Congressional inquiries on specific subjects.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Records comprising this system are stored electronically. Supporting records or materials are maintained in file folders and cabinets.

**RETRIEVABILITY:**

Correspondence records are retrieved from the Customer Assistance Group's office using either: (a) The name of the correspondent, the correspondent's representative, or the Congressman or Senator who has made inquiry on behalf of a constituent; or (b) the identification number assigned to the correspondence.

**SAFEGUARDS:**

Access to electronic records is limited to users in appropriate OCC units having appropriate identification codes and passwords. Supporting records or materials are maintained in locked file rooms.

**RETENTION AND DISPOSAL:**

Electronic records are maintained indefinitely. Supporting records and materials are retained in accordance with the OCC's record management policies.

**SYSTEM MANAGER(S) AND ADDRESS:**

Ombudsman, Office of the Comptroller of the Currency, 1301 McKinney Street, Suite 3710, Houston, Texas 77010.

**NOTIFICATION PROCEDURE:**

Individuals who wish to be notified if they are named in the system may write or call the Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700. Persons requesting such information must provide their name, address, name of the involved bank, the date of their

complaint or inquiry, and, if available, the complaint identification number.

**RECORD ACCESS PROCEDURES:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The initial source is the person filing a complaint against a national bank or making an inquiry about a bank or banking issue. Subsequent sources are from bank correspondence, bank files, or from reports based on on-site investigations.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/COMPTROLLER .012****SYSTEM NAME:**

Freedom of Information Index and Log—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Disclosure Office, 250 E Street, SW, Washington, DC 20219.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons making requests under the Freedom of Information Act (FOIA).

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Names of individuals making written requests for records under the FOIA, the mailing addresses of such individuals, and the dates of such requests and their receipt by the OCC. Supporting records include the written correspondence received from the requesters and the responses made to such requests by the OCC. Comparable records are maintained in this system with respect to any appeals made from initial denials of access.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1, 5 U.S.C. 301, and 5 U.S.C. 552.

**PURPOSE(S):**

Records are maintained to facilitate fulfillment of the responsibilities of the OCC under the FOIA.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records may be made available to other federal agencies as well as third parties.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Records comprising this system are stored electronically. Supporting

records or materials are maintained in unlocked file cabinets.

**RETRIEVABILITY:**

Records may be retrieved by the name of a requester or the FOIA case number assigned to a request.

**SAFEGUARDS:**

Access to electronic records is restricted through use of passwords assigned to personnel of the OCC's Disclosure Office.

**RETENTION AND DISPOSAL:**

Electronic records are maintained indefinitely. Supporting records and materials are retained in accordance with the OCC's records management policies.

**SYSTEM MANAGER(S) AND ADDRESS:**

Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700.

**RECORD ACCESS PROCEDURE:**

See Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Persons making written requests under the FOIA for access to OCC records.

**EXEMPTIONS CLAIMED FOR THIS SYSTEM:**

None.

**TREASURY/COMPTROLLER .013**

**SYSTEM NAME:**

Enforcement and Compliance Information System—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Enforcement and Compliance Division, 250 E Street, SW, Washington, DC 20219. Computerized records of Suspicious Activity Reports (SAR), administrative actions, with status updates, are managed by FinCEN, Department of the Treasury, pursuant to a contractual agreement, and are stored at the IRS Computing Center in Detroit, Michigan. Authorized personnel at the Federal financial regulatory agencies

have on-line access to the computerized database managed by FinCEN through individual work stations that are linked to the database central computer.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Directors, officers, employees, shareholders, agents, and persons participating in the conduct of the affairs of entities regulated by the OCC who have been involved in suspected criminal activity or suspicious financial transactions and referred to law enforcement officials; and/or who have been involved in irregularities, violations of law, unsafe or unsound practices and/or breaches of fiduciary duty and have been the subject of an administrative action taken by the OCC.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

SAR filed by national banks and/or by national bank examiners or attorneys for the OCC. The SAR contains information identifying the financial institution involved, the suspected person, the type of suspicious activity involved, the amount of loss known, and any witnesses. Also, administrative actions taken by the OCC against directors, officers, employees, shareholders, agents, and persons participating in the conduct of the affairs of entities regulated by the OCC.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 481, 1817(j), 1818, and 1820; 15 U.S.C. 78c(a)(34), 78l(l), 78u, 78o-4.

**PURPOSE(S):**

The overall system serves as a central OCC repository for investigatory or enforcement information related to the responsibility of the OCC to examine and supervise entities regulated by the OCC.

The system maintained by FinCEN serves as the database for the cooperative storage, retrieval, analysis, and use of information relating to Suspicious Activity Reports made to or by the Federal financial regulatory agencies and FinCEN to various law enforcement agencies for possible criminal, civil, or administrative proceedings based on known or suspected violations affecting or involving persons, financial institutions, or other entities under the supervision or jurisdiction of such Federal financial regulatory agencies.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

Information in these records may be used to: (1) Provide the Department of Justice with periodic reports that

indicate the number, amount, individual identity, and other details concerning outstanding potential criminal violations of the law that have been referred to the Department; (2) Provide the Federal financial regulatory agencies and FinCEN with information relevant to their operations; (3) Disclose information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation; (4) Provide information or records to any appropriate domestic or foreign governmental agency or self-regulatory organization charged with the responsibility of administering law or investigating or prosecuting violations of law or charged with enforcing or implementing a statute, rule, regulation, order, policy, or license; (5) Disclose, when considered appropriate, information to a bar association, or other trade or professional organization performing similar functions, for possible disciplinary action; (6) Disclose information, when appropriate, to international and foreign governmental authorities in accordance with law and formal or informal international agreements; (7) Disclose the existence, but not necessarily the content, of information or records in cases where the OCC is a party or has a direct interest and where the OCC, in its sole discretion, has concluded that such disclosure is necessary; and (8) Disclose information to any person with whom the OCC contracts to reproduce, by typing, photocopying or other means, any record within this system for use by the OCC and its staff in connection with their official duties or to any person who is utilized by the OCC to perform clerical or stenographic functions relating to the official business of the OCC.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records are maintained on magnetic media and in paper and card files.

**RETRIEVABILITY:**

Computer output, file folders, and card files are retrievable by indexes of data fields, including name of financial institution and individuals' names.

**SAFEGUARDS:**

Paper and card files are stored in lockable metal file cabinets. Computer disks maintained at the OCC are accessed only by authorized personnel. The database maintained by FinCEN complies with applicable security requirements of the Department of the

Treasury. On-line access to the information in the database is limited to authorized individuals who have been specified by each Federal financial regulatory agency and FinCEN, and each such individual has been issued a non-transferable identifier or password.

#### RETENTION AND DISPOSAL:

Records are maintained indefinitely.

#### SYSTEM MANAGER(S) AND ADDRESS:

Director, Enforcement and Compliance Division, OCC, 250 E Street, SW, Washington, DC 20219.

#### NOTIFICATION PROCEDURE:

Certain records in this system are exempt from notification and record-access requirements and requirements that an individual be permitted to contest its contents under 5 U.S.C. 552a(j)(2) and (k)(2) as relating to investigatory material compiled for law enforcement purposes. Requests relating to records not subject to exemption should be sent to the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700. Requesters must attest to their identity and provide data supporting this identification.

#### RECORD ACCESS PROCEDURE:

See "Notification procedures" above.

#### CONTESTING RECORD PROCEDURES:

See "Notification procedures" above.

#### RECORD SOURCE CATEGORIES:

Suspicious activity reports and related historical information and updating forms and administrative actions taken against individuals compiled by the OCC and the other Federal financial regulatory agencies for law enforcement purposes. The OCC will also include information from its Enforcement and Compliance Information System.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

Components of this system have been designated as exempt from 5 U.S.C. 552a (c)(3), (c)(4), (d), (e)(1), (e)(2), (e)(3), (e)(4)(G), (e)(4)(H), (e)(5), (e)(8), (f) and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

#### TREASURY/COMPTROLLER .014

##### SYSTEM NAME:

Personnel Security/Investigation Files/Employee/Applicant Reference File—Treasury/Comptroller.

##### SYSTEM LOCATION:

Office of the Comptroller of the Currency (OCC), Administrative Services Division, 250 E Street, SW,

Washington, DC 20219. Components of this system are geographically dispersed throughout the following six (6) district offices.

(1) Northeastern District: New York District Office, 1114 Avenue of the Americas, Suite 3900, New York, NY 10036.

(2) Southeastern District: Atlanta District Office, Marquis One Tower, Suite 600, 245 Peachtree Center Ave., NE, Atlanta, GA 30303.

(3) Central District: Chicago District Office, One Financial Place, Suite 2700, 44 South La Salle Street, Chicago, IL 60605.

(4) Midwestern District: Kansas City District Office, 2345 Grand Boulevard, Suite 700, Kansas City, MO 64108-2683.

(5) Southwestern District: Dallas District Office, 1600 Lincoln Plaza, 500 North Akard, Dallas, TX 75201-3394.

(6) Western District: San Francisco District Office, 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

#### CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Applicants for employment with and employees of the Comptroller of the Currency.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

Compilation of material for a determination regarding employability and/or Security Clearance.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

12 U.S.C. 1; 5 U.S.C. 301; and EO 10450 and 12356.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosures are not made outside the Department.

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Locked steel file cabinets located in a room secured with a key lock.

##### RETRIEVABILITY:

Filed in alphabetical order.

##### SAFEGUARDS:

Locked Steel file cabinets located in a room secured with a key lock. Only the security officer within the Human Resources area has access.

##### RETENTION AND DISPOSAL:

Materials are retained for three months after employee leaves and the records are disposed by shredding.

##### SYSTEM MANAGER(S) AND ADDRESS:

Director, Administrative Services Division, Office of the Comptroller of

the Currency, 250 E Street, SW, Washington, DC 20219.

#### NOTIFICATION PROCEDURE:

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700. Individuals wishing to be notified if they are named in the system must provide (1) the category and type of records sought; and (2) attestation to their identity and at least two items of secondary identification.

#### RECORD ACCESS PROCEDURE:

See "Notification procedure" above.

#### CONTESTING RECORD PROCEDURES:

See "Notification procedure" above.

#### RECORD SOURCE CATEGORIES:

The information contained in these records is provided by subject of the record: employers, co-workers, friends, neighbors and associates, and finances.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

Portions of this system have been designated as exempt from certain provisions of the Privacy Act pursuant to 5 U.S.C. 552a (k)(5).

#### TREASURY/COMPTROLLER .015

##### SYSTEM NAME:

Chain Banking Organizations System—Treasury/Comptroller.

##### SYSTEM LOCATION:

Office of the Comptroller of the Currency (OCC), 250 E Street, SW, Washington, DC 20219, and the OCC's district offices, as follows:

(1) Northeastern District: New York District Office, 1114 Avenue of the Americas, Suite 3900, New York, NY 10036.

(2) Southeastern District: Atlanta District Office, Marquis One Tower, Suite 600, 245 Peachtree Center Ave., NE, Atlanta, GA 30303.

(3) Central District: Chicago District Office, One Financial Place, Suite 2700, 44 South La Salle Street, Chicago, IL 60605.

(4) Midwestern District: Kansas City District Office, 2345 Grand Boulevard, Suite 700, Kansas City, MO 64108-2683.

(5) Southwestern District: Dallas District Office, 1600 Lincoln Plaza, 500 North Akard, Dallas, TX 75201-3394.

(6) Western District: San Francisco District Office, 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Individuals who directly, or indirectly, or in concert with others, own and/or control a chain banking organization.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records consist of two types of data: (1) Name of an individual (or group of individuals acting in concert) that owns or controls a chain banking organization; and (2) information concerning each bank in the chain, such as: name; location; charter number; charter type; date of last examination; percentage of outstanding stock owned by controlling individual or group; and, if applicable, name of intermediate holding entity and percentage of it held by controlling individual or group.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1, 12 U.S.C. 481, 12 U.S.C. 1817(j).

**PURPOSE(S):**

These records are maintained and used within the OCC to carry out the agency's supervisory responsibilities with respect to national and district banks.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:**

The records may be used to: (1) Disclose information about specific chain banking organizations to other financial institution supervisory authorities for: (a) Coordination of examining resources when the chain banking organization is composed of banks or financial institutions subject to multiple supervisory jurisdiction; (b) coordination of evaluations and analysis of the condition of the consolidated chain group; (c) coordination of supervisory, corrective, or enforcement actions; (2) disclose information to the extent provided by law or regulation and as necessary to report any apparent violations of law to appropriate law enforcement agencies; (3) disclose pertinent information to appropriate Federal, State, local or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (4) disclose information to a Federal, State, or local agency, maintaining civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or

the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (5) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or witnesses in the course or civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; (6) provide information to a congressional office in response to an inquiry made at the request of the individual to whom the record pertains.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Records comprising this system are stored electronically or in hard copy printouts stored in file cabinets.

**RETRIEVABILITY:**

Records may be retrieved by district location, state, alphabetically by surname of the individual(s) and/or entity controlling the chain banking organization.

**SAFEGUARDS:**

Access to electronic records is restricted to personnel of the OCC's Core Policy Development unit and the OCC's district offices. Access to hard copy printouts is restricted to OCC personnel who have a need for such records in the performance of their duties.

**RETENTION AND DISPOSAL:**

Electronic records are maintained indefinitely. Hard copy printouts are maintained in accordance with the OCC's record management policies.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Core Policy Development, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals who wish to be notified if they are named in the system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700. Individuals must provide the name and location of the bank(s) which they control individually or in concert with others. Requesters may also be required to attest to their identity and/or submit data substantiating such identity.

**RECORD ACCESS PROCEDURE:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURE:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Information that identifies chain banking groups primarily is gathered from: (1) Examination reports and related materials; (2) regulatory filings; and (3) Change in Bank Control notices filed pursuant to 12 U.S.C. 1817(j).

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/COMPTROLLER .016****SYSTEM NAME:**

Litigation Information System (LIS)—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Litigation Division, 250 E Street, SW, Washington, DC 20219.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

(A) Individuals who file administrative or judicial claims against the OCC and/or officials or employees of the OCC in their capacity as such; (B) individuals against whom the OCC files administrative or judicial claims; (C) individuals named as party-plaintiffs or defendants in administrative or judicial claims in which the OCC participates as a nonparty; (D) all other individuals, including actual or potential witnesses, involved in litigation brought by or against the OCC or in which the OCC participates as a nonparty; and (E) persons submitting requests for testimony and/or production of documents pursuant to 12 CFR part 4, subpart C.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

All records generated in connection with the claim or litigation, including evidentiary material, transcripts of testimony, documents prepared for administrative or judicial proceedings, correspondence, and staff memoranda and records relating to requests for information pursuant to 12 CFR part 4, subpart C.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1 and 481; 15 U.S.C. 78c(a)(34), 78(l), 78o-4.

**PURPOSE(S):**

The information maintained in this system is utilized within the OCC to assist in the representation of the agency's interests in administrative and judicial claims by or against the OCC.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records may be used to: (1) provide the Department of Justice with pleadings, memoranda, correspondence, litigation reports, and other documents that will assist it in the preparation of litigation involving the OCC; (2) disclose information to the news media in accordance with guidelines contained in 28 CFR 50.2, which covers the release of information relating to civil and criminal proceedings; (3) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosure to opposing counsel or potential or actual witnesses in the course of discovery, in litigation, or in settlement negotiations, or in response to a subpoena, where relevant or potentially relevant to the proceeding; (4) provide information or records to any other appropriate domestic or foreign governmental agency or self-regulatory organization charged with responsibility of administering law or investigating or prosecuting violations of law or charged with enforcing or implementing statutes, rules, regulations or orders pursuant thereto; (5) disclose information to bank and consumer groups; and (6) disclose information to any person with whom the OCC contracts to reproduce by typing, photocopy, or other means, any record within the system of records for use by the OCC and its staff in connection with their official duties or to any person who is utilized by the OCC to perform clerical or stenographic functions relating to the official business of the OCC.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records comprising this system are maintained in file folders kept in lockable file cabinets.

**RETRIEVABILITY:**

Access to the records is by name of the individual litigant(s), witness(es), or requester(s).

**SAFEGUARDS:**

Records are accessible only to authorized personnel.

**RETENTION AND DISPOSAL:**

Records are retained in accordance with the OCC's records management policies.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Litigation Division, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700. Individuals wishing to be notified if they are named in the system must provide: (1) The name of the action in which a claim has been asserted; (2) the date in which the action was initiated or completed; and (3) attestation to their identity and at least two items of secondary identification.

**RECORD ACCESS PROCEDURE:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Individuals who file claims against or otherwise are involved in legal proceedings to which the OCC or an official or employee in such capacity is a party or in which the OCC otherwise participates; communications and documents generated or received by the OCC or its officials or employees in the course of legal proceedings; persons submitting requests for testimony and/or production of documents.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/COMPTROLLER .221**

**SYSTEM NAME:**

Registration Records for Municipal and United States Government Securities Dealers—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Treasury and Market Risk Division, 250 E Street SW, Washington, DC 20219.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons who are or seek to be associated with a municipal securities dealer or a government securities broker/dealer which is a national or District of Columbia bank, or a department or division of any such bank, in the capacity of municipal securities principals, municipal securities representatives, or government security associated persons.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

These records contain identifying information, detailed educational and occupational histories, certain professional qualifications, examination information, disciplinary histories, and information concerning the termination of employment of individuals covered by the system. Identifying information includes name, address history, date and place of birth, and may include Social Security number.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

12 U.S.C. 1 et seq and section 15B(c), 17 and 23 of the Securities Exchange Act of 1934 (15 U.S.C. 78o-4(c)(5), 78o-5(a)(1)(B)(ii), 78o-5(b)(2)(C)(ii), 78q(c) and 78w).

**PURPOSE(S):**

These records are maintained and used within the OCC to carry out the agency's supervisory responsibilities with respect to national and district banks, the securities activities of such institutions, and the professional qualifications of bank officials engaged in these activities.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH SYSTEMS:**

The information contained in these records may be subject to the following uses: (1) Referral to the appropriate governmental authority, whether Federal, State, local, or foreign, or to the appropriate self-regulatory organization, of such information as may indicate a violation or potential violation of law, regulation, or rule; (2) referral to the appropriate court, magistrate, or administrative law judge of such information as may be relevant to proceedings before any such court or judicial officer; (3) disclosure of such information as may aid in the resolution of any action or proceeding: (a) In which the Federal securities or banking laws are at issue; (b) in which the propriety of any disclosure of information contained in the system is at issue; or (c) to which the OCC or a past or present member of its staff is a party or otherwise involved in an official capacity; (4) disclosure to a Federal, State, local, or foreign governmental authority, or to a self-regulatory organization, of such information as may be necessary to obtain from such authority or organization additional information concerning the qualifications of an individual covered by the system; (5) disclosure of such information as may be necessary to respond to a request from a Federal, State, local, or foreign governmental authority, or from a self-regulatory

organization, for information needed in connection with the issuance of a license, granting of a benefit, or similar action by such authority or organization affecting an individual covered by the system; and (6) disclosure of such information as may be necessary to respond to any Congressional inquiry undertaken at the request of an individual covered by the system.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

Records comprising this system are stored electronically. Supporting records or materials are maintained in file folders.

**RETRIEVABILITY:**

Records are indexed by name of individual and by a numerical identifier assigned by the OCC.

**SAFEGUARDS:**

Computerized data base is accessible to only authorized personnel. File folders are stored in lockable metal cabinets.

**RETENTION AND DISPOSAL:**

Electronic records are maintained indefinitely. Supporting records and materials are retained in accordance with the OCC's records management policies.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Treasury and Market Risk Division, Office of the Comptroller of the Currency, 250 E Street SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219. Telephone 202-874-4700. Individuals may be required to attest to their identity and/or submit data substantiating such identity.

**RECORD ACCESS PROCEDURE:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

Those individuals and municipal and U.S. Government securities dealers described in the section entitled "Categories of individuals covered by the system" provide the bulk of information in the system. Additional input is provided by Federal, State,

local, and foreign governmental authorities, and by self-regulatory organizations, which regulate the securities industry.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/COMPTROLLER .300**

**SYSTEM NAME:**

Administrative Personnel System—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Administrative Services Division, 250 E Street, SW, Washington, DC 20219. Components of this system are geographically dispersed throughout the following six district offices:

(1) Northeastern District: New York District Office, 1114 Avenue of the Americas, Suite 3900, New York, NY 10036.

(2) Southeastern District: Atlanta District Office, Marquis One Tower, Suite 600, 245 Peachtree Center Ave., NE, Atlanta, GA 30303.

(3) Central District: Chicago District Office, One Financial Place, Suite 2700, 44 South La Salle Street, Chicago, IL 60605.

(4) Midwestern District: Kansas City District Office, 2345 Grand Boulevard, Suite 700, Kansas City, MO 64108-2683.

(5) Southwestern District: Dallas District Office, 1600 Lincoln Plaza, 500 North Akard, Dallas, TX 75201-3394.

(6) Western District: San Francisco District Office, 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Employment related administrative records. This system contains internal control type information about employees and contractual users of agency facilities and systems. The type of records found within this system are: List of individuals who are issued building passes, credit or identification cards, parking permits, accountable property and travel documents; lists of individuals who perform specialized duties (building wardens, relocation teams, safety officers, and civil defense officers); reports about individuals who are involved in accidents while employed, and authorization codes for use of internal computer systems.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

General authority: 12 U.S.C. 1, 481, 482 and 5 U.S.C. 301. Specific authority is derived from a number of laws, regulations and Executive Orders.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) The Office of Personnel Management (OPM) for the purpose of complying with regulations issued by the OPM; (2) the General Services Administration (GSA) for the purpose of complying with regulations issued by the GSA; (3) the Department of Labor for the purpose of investigating claims for work related injuries.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

**STORAGE:**

File folders, magnetic tape, lists and forms.

**RETRIEVABILITY:**

Records are retrieved primarily by name (filed alphabetically by category of records); secondary identifiers are used to assure accuracy (date of birth, social security number or employee identification number).

**SAFEGUARDS:**

Records are stored in lockable cabinets or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures.

**RETENTION AND DISPOSAL:**

Personnel-type records are retained for thirty (30) days after termination. All other records are retained and destroyed in accordance with published disposition and retention schedules.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Administrative Services Division, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219, Telephone 202-874-4700. Individuals wishing to be notified if they are named in the system must provide: (1) The category and type of record sought; (2) the location of the OCC office where last employed; and (3) attestation to their identity and at least two items of secondary identification.

**RECORD ACCESS PROCEDURE:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The information in these records was provided by or verified by the subject of the record, employers and co-workers.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/COMPTROLLER .310****SYSTEM NAME:**

Financial System—Treasury/  
Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Financial Services, 250 E Street, SW, Washington, DC 20219. Components of this system are geographically dispersed throughout the following six district offices:

(1) Northeastern District: New York District Office, 1114 Avenue of the Americas, Suite 3900, New York, NY 10036.

(2) Southeastern District: Atlanta District Office, Marquis One Tower, Suite 600, 245 Peachtree Center Ave., NE, Atlanta, GA 30303.

(3) Central District: Chicago District Office, One Financial Place, Suite 2700, 44 South La Salle Street, Chicago, IL 60605.

(4) Midwestern District: Kansas City District Office, 2345 Grand Boulevard, Suite 700, Kansas City, MO 64108-2683.

(5) Southwestern District: Dallas District Office, 1600 Lincoln Plaza, 500 North Akard, Dallas, TX 75201-3394.

(6) Western District: San Francisco District Office, 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Present and past employees of the Office of the Comptroller of the Currency.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains payroll and disbursement type records including: Travel records, debt information, and information about employees. The types of records found within this system are: Award, allowance, salary, fund advancement justification and disbursement records; personnel information; leave information; payroll deductions for taxes, life and health insurance, financial institutions, retirement funds including the Federal Employees Retirement System and the Civil Service Retirement System, Thrift Savings Plan, and charitable groups.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

General authority: 12 U.S.C. 1, 481, 482; 5 U.S.C. 301.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

These records and information in these records may be used to: (1) furnish the Internal Revenue Service and other jurisdictions which are authorized to tax the employee's compensation, with wage and tax information in accordance with a withholding agreement with the Department of the Treasury pursuant to 5 U.S.C. 5516, 5517, and 5520; (2) furnish the Office of Personnel Management (OPM) with data to update the Central Personnel Data File and other statistical reports as required for the purpose of complying with regulations issued by OPM; (3) furnish another Federal agency information to effect interagency salary offset; to furnish another Federal agency information to effect interagency administrative offset, except that addresses obtained from the Internal Revenue Service shall not be disclosed to other governmental agencies; and to furnish a debt collection agency information for debt collection services. Current mailing addresses acquired from the Internal Revenue Service are routinely released to debt collection agencies for collection services; (4) the General Services Administration (GSA) for the purpose of complying with regulations issued by GSA; (5) the General Accounting Office for the purpose of conducting audits; (6) entities designated to receive payroll deductions; (7) Department of Labor to determine eligibility for unemployment benefits; (8) disclose information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing Counsel or witnesses in the course of civil discovery, litigation or settlement negotiations in response to a subpoena, or in connection with criminal law proceedings.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Disclosures pursuant to 5 U.S.C. 552(b)(12) and section 3 of the Debt Collection Act of 1982; Debt information concerning a government claim against an individual is also furnished in accordance with 5 U.S.C. 552a(b)(12) and section 3 of the Debt Collection Act of 1982 (Pub. L. 97-365), to consumer reporting agencies to encourage repayment of an overdue debt.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

Maintained in file folders, magnetic media including computer discs and

tapes, microfiche, and hard copy printout. Disbursement records are stored at the Federal Records Center.

**RETRIEVABILITY:**

Records are retrieved primarily by name (filed alphabetically), or an assigned identification number (Social Security Number or an assigned identification number). Secondary identifiers are used to assure accuracy of data assessed, including date of birth, Social Security number, or employee identification number.

**SAFEGUARDS:**

File folders are stored in lockable cabinets or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures. Computer records are accessed only by authorized personnel.

**RETENTION AND DISPOSAL:**

Payroll and disbursement records are retained by the Office in accordance with the Comptroller of the Currency's Comprehensive Records Disposition Schedule.

**SYSTEM MANAGER(S) AND ADDRESS:**

Chief Financial Officer, Financial Services, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219, Telephone 202-874-4700. Individuals wishing to be notified if they are named in the system must provide: (1) The category and type of record sought; (2) the location of the OCC office where last employed; and (3) attestation to their identity and at least two items of secondary identification.

**RECORD ACCESS PROCEDURE:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The information contained in these records is provided by or verified by the subject of the record and OCC employees.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.



**TREASURY/COMPTROLLER .320****SYSTEM NAME:**

General Personnel System—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Human Resources, 250 E Street, SW, Washington, DC 20219. Components of this system are geographically dispersed throughout the following six district offices:

(1) Northeastern District: New York District Office, 1114 Avenue of the Americas, Suite 3900, New York, NY 10036.

(2) Southeastern District: Atlanta District Office, Marquis One Tower, Suite 600, 245 Peachtree Center Ave., NE, Atlanta, GA 30303.

(3) Central District: Chicago District Office, One Financial Place, Suite 2700, 44 South La Salle Street, Chicago, IL 60605.

(4) Midwestern District: Kansas City District Office, 2345 Grand Boulevard, Suite 700, Kansas City, MO 64108-2683.

(5) Southwestern District: Dallas District Office, 1600 Lincoln Plaza, 500 North Akard, Dallas, TX 75201-3394.

(6) Western District: San Francisco District Office, 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Present and past employees and applicants for employment.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Employment related biographical and performance material. This category of records is typically identified as personnel type records and contains data about employees and applicants. The records found within this category include: Performance evaluations; educational, employment, medical and military histories; employee benefit applications, forms and claims; travel and relocation claims; locator and emergency contact information; dependent and beneficiary information; physical and qualification descriptions.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

General authority—12 U.S.C. 1, 481, 482, and 5 U.S.C. 301. Specific authority is derived from a number of laws, regulations and Executive Orders.

**ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:**

A record in this system may be disclosed as a routine use to: (1) The Office of Personnel Management (OPM) for the purpose of complying with regulations issued by the OPM; (2) the

Veterans Administration (VA) for the purposes of determining veterans preference and pension benefits; (3) the Equal Employment Opportunity Commission for the purpose of providing minority information and case reports; (4) respond to requests from labor organizations for names of employees and identifying information; (5) the Department of Labor for the purpose of reporting health and safety matters; (6) the General Services Administration (GSA) for the purpose of complying with regulations issued by GSA; (7) the Merit Systems Protection Board for the purpose of providing necessary information relating to employee appeals; (8) the Department of Labor to provide information relative to Unemployment Compensation and OWCP claims.

**POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:****STORAGE:**

File folders, magnetic media, microfiche, printouts, lists and forms.

**RETRIEVABILITY:**

Records are retrieved primarily by name (filed alphabetically by category of records). Secondary identifiers are used to assure accuracy (date of birth, Social Security number or employee identification number).

**SAFEGUARDES:**

Records are stored in lockable cabinets, electronic data bases requiring security access codes or secure rooms; access is limited to officials who have a need for the information; employees are trained to make only authorized disclosures. Records maintained with vendors are under contractual obligation to maintain confidentiality.

**RETENTION AND DISPOSAL:**

Most personnel-type records are retained for thirty (30) days after termination, at which time they are transferred to the Federal Records Center or destroyed. Some records are retained for varying periods of time in accordance with Federal Personnel Manual Regulations.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Human Resources, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

**NOTIFICATION PROCEDURE:**

Individuals wishing to be notified if they are named in this system should contact the OCC's Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219,

Telephone 202-874-4700. Individuals wishing to be notified if they are named in the system must provide: (1) The category and type of record sought; (2) the location of the OCC office where last employed; and (3) attestation to their identity and at least two items of secondary identification.

**RECORD ACCESS PROCEDURE:**

See "Notification procedure" above.

**CONTESTING RECORD PROCEDURES:**

See "Notification procedure" above.

**RECORD SOURCE CATEGORIES:**

The information contained in these records was provided or verified by the subject of the record, employers, co-workers, friends, neighbors and associates listed as references, financial and educational institutions.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.

**TREASURY/COMPTROLLER .500****SYSTEM NAME:**

Chief Counsel's Management Information System—Treasury/Comptroller.

**SYSTEM LOCATION:**

Office of the Comptroller of the Currency (OCC), Chief Counsel, 250 E Street, SW, Washington, DC 20219. Supporting records and materials are maintained by components of the OCC's Law Department, including the legal staffs located in the following six district offices.

(1) Northeastern District: New York District Office, 1114 Avenue of the Americas, Suite 3900, New York, NY 10036.

(2) Southeastern District: Atlanta District Office, Marquis One Tower, Suite 600, 245 Peachtree Center Ave., NE, Atlanta, GA 30303.

(3) Central District: Chicago District Office, One Financial Place, Suite 2700, 44 South La Salle Street, Chicago, IL 60605.

(4) Midwestern District: Kansas City District Office, 2345 Grand Boulevard, Suite 700, Kansas City, MO 64108-2683.

(5) Southwestern District: Dallas District Office, 1600 Lincoln Plaza, 500 North Akard, Dallas, TX 75201-3394.

(6) Western District: San Francisco District Office, 50 Fremont Street, Suite 3900, San Francisco, CA 94105.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Persons who: (1) Have requested information or action from OCC's Law Department, (2) have initiated administrative or judicial actions against the OCC and/or officials or

employees of the OCC in their capacity as such; (3) persons against whom the OCC has filed, or may file, administrative or judicial actions; and (4) persons referenced in documents received by the Law Department in the course of the OCC's bank supervisory functions.

#### CATEGORIES OF RECORDS IN THE SYSTEM:

Records maintained electronically in this system relate to work assignments received by the OCC's Law Department and may include, as appropriate, the name and organization of the individual requesting information or action, the name and organization of the individual who is the subject of such a request, the staff attorney assigned to a request, and a description of the assignment and its nature. Supporting records include the written correspondence received from the requesters and related materials.

#### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

12 U.S.C. 1, 12 U.S.C. 481, 5 U.S.C. 301.

#### PURPOSE(S):

The records maintained in this system relate to work assignments made to members of the OCC's legal staff. These matters relate to the OCC's status as an agency responsible for the chartering and supervision of national banks and the interpretation and enforcement of those laws, regulations, and rules applicable to these institutions and their directors, officers, and employees.

#### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:

The information contained in these records may also be subject to the following uses: (1) The disclosure of pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) the disclosure of information to a Federal, State, or local agency, maintaining, civil, criminal, or other relevant enforcement information or other pertinent information, which has requested information relevant to or necessary to the requesting agency's or the bureau's hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit; (3) the disclosure of information to a court, magistrate, or administrative tribunal in the course of presenting evidence, including disclosures to opposing counsel or

witnesses in the course of civil discovery, litigation, or settlement negotiations, in response to a subpoena, or in connection with criminal law proceedings; and (4) the provision of information to third parties during the course of an investigation to the extent necessary to obtain information pertinent to the investigation.

#### POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

##### STORAGE:

Records comprising this system are stored electronically. Supporting records or materials are maintained in file folders and cabinets.

##### RETRIEVABILITY:

Records are indexed on a variety of data elements, including a correspondent's name and organization, the assigned attorney, the nature of an assignment, the dates of the correspondence and its receipt by the OCC, and the date of the assignment's completion.

##### SAFEGUARDS:

The electronic data base is accessible to only authorized personnel having assigned identification codes and passwords. With respect to supporting records and materials, employees are trained to make disclosures of such information to only those individuals who have a need for the information.

##### RETENTION AND DISPOSAL:

Electronic records are maintained indefinitely. Supporting records and materials are retained in accordance with the OCC's records management policies.

##### SYSTEM MANAGER(S) AND ADDRESS:

Chief Counsel, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219.

##### NOTIFICATION PROCEDURE:

The system contains records which are exempt under 5 U.S.C. 552a(j)(2) or 552a(k)(2). Requests relating to records not subject to these exemptions should be sent to the Disclosure Officer, Communications, Office of the Comptroller of the Currency, 250 E Street, SW, Washington, DC 20219, telephone 202-874-4700. Individuals wishing to be notified if they are named in the system may be required to attest to their identity and/or submit data substantiating such identity.

##### RECORD ACCESS PROCEDURES:

See "Notification procedure" above.

##### CONTESTING RECORD PROCEDURES:

See "Notification procedure" above.

#### RECORD SOURCE CATEGORIES:

Materials received by the Law Department from various sources, including, inter alia, correspondence or requests received from members of the public, national banks and their affiliated organizations or directors, officers, employees or agents, other Federal agencies, state and local agencies, and OCC personnel.

#### EXEMPTIONS CLAIMED FOR THE SYSTEM:

This system is exempt from 5 U.S.C. 552a(c)(3)(4), (d)(1)(2)(3)(4), (e)(1)(2)(3)(4), (G), (H), and (I), (e)(5) and (8), (f), and (g) of the Privacy Act pursuant to 5 U.S.C. 552a(j)(2) and (k)(2).

BILLING CODE: 4820-02-P

#### U.S. Customs Service

##### TREASURY/CS-001

##### SYSTEM NAME:

Acceptable Level of Competence, Negative Determination—Treasury/Customs.

##### SYSTEM LOCATION:

Located in Customs Headquarters Offices and in each Customs Management Center, Port, SAC, and appropriate post of duty.

##### CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Any employee of U.S. Customs Service, who receives a negative determination regarding acceptable level of competence.

##### CATEGORIES OF RECORDS IN THE SYSTEM:

Employee's name, social security number, position description, grade, and correspondence containing specific reasons for negative determination.

##### AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301; Treasury Department Order No. 165, Revised, as amended.

##### ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

These records and information in these records may be used to: (1) Disclose pertinent information to appropriate Federal, State, local, or foreign agencies responsible for investigating or prosecuting the violations of, or for enforcing or implementing, a statute, rule, regulation, order, or license, where the disclosing agency becomes aware of an indication of a violation or potential violation of civil or criminal law or regulation; (2) disclose information to a Federal, State, or local agency, maintaining civil, criminal or other relevant enforcement information or